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ABSTRACT

With dwindling budgets, a critical focus of all reform efforts is how to underwrite the costs of new mental health intervention approaches. For communities and schools, the range of mental health and psychosocial concerns confronting young people requires a vision that encompasses much more than providing services for those with mental disorders. The activity must entail a multifaceted continuum of programs and services. This quick training aid presents a brief set of resources to guide those providing an in-service training session on financing strategies for such programs. The packet contains a brief introduction to the topic with key talking points, fact sheets and practice notes, tools and handouts, and a directory of model programs and additional resources. (GCP)

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Mental Health in Schools Center
Training and Technical Assistance

ED 463 500

*A Center Quick Training Aid . . .*

# *Financing Strategies to Address Barriers to Learning*

This document is a hard copy version of a resource that can be downloaded at no cost from the Center's website http://smhp.psych.ucla.edu The Center is co-directed by Howard Adelman and Linda Taylor and operates under the auspice of the School Mental Health Project, Dept. of Psychology, UCLA. Center for Mental Health in Schools, Box 951563, Los Angeles, CA 90095-1563 (310) 825-3634 Fax: (310) 206-8716; E-mail: smhp@ucla.edu

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U.S. Department of Health and Human Services
HRSA
Maternal and Child Health Bureau

CMHS SAMHSA
Services Administration



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# Financing Strategies to Address Barriers to Learning

Periodically, windows of opportunities arise for providing inservice at schools about mental health and psychosocial concerns. When such opportunities appear, it may be helpful to access one or more of our Center's *Quick Training Aids*.

Each of these offers a brief set of resources to guide those providing an inservice session. (They also are a form of quick self-tutorial and group discussion.)

Most encompass

- key talking points for a short training session
- a brief overview of the topic
- facts sheets
- tools
- a sampling of other related information and resources

*In compiling resource material, the Center tries to identify those that represent "best practice" standards. If you know of better material, please let us know so that we can make improvements.*

This set of training aids was designed for free online access and interactive learning. It can be used online and/or downloaded at http://smhp.psych.ucla.edu – go to Quick Find and scroll down in the list of "Center Responses to Specific Requests" to *Financing and Funding*. Besides this Quick Training Aid, you also will find a wealth of other resources on this topic.



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# Guide for Suggested Talking Points


Page

I. Brief Overview 5

A. Two questions to be covered:

1. What are major financing strategies?

2. What are some relevant financing sources/initiatives?

B. Present main points from: About Financing - Excerpted from Center packet entitled: *Financial Strategies to Aid in Addressing Barriers to Learning*, Preface. 6

1. Funding is critical to the success of new initiatives. Money doesn't solve problems, but solving complex problems does require financial resources.

2. Make sure to cover the two essential principles of good financial planning

3. Note the four points from CSSP, about pursuing various avenues for financing programs and services.

C. Financing Mental Health for Children & Adolescents - Excerpted from Center Brief and Fact Sheet entitled: *Financing Mental Health for Children and Adolescents*, pp. 7-8. 7

1. Draw attention to what is spent in schools, perhaps compare to local budgeting as a jumping off point. Where is the school doing well with current resources? Where is more funding needed?

2. Stress current funding sources.

D. Chart of School-Based Health Care Financing - Adapted from *Creative Financing for School-Based Health Centers: A Tool Kit* ( http://www.nasbhc.org/nasbhc_resources.htm), pg. 50., a publication of the National Assembly on School-Based Health Care and the W.K. Kellogg Foundation. 9

1. Use as an overhead or presentation slide (color version available) to demonstrate a variety of potential sources/initiatives.

2. Can be used to generate ideas, brainstorming, or discussion.

II. Fact Sheets/Practice Notes 10

A. Funding Initiatives - Excerpted from *Addressing Barriers to Learning*, Volume 5, Number 4, Fall, 2000. 11

1. Compare to areas of need.

2. Clarify the difference between targeting specific problems and making schoolwide reforms.

B. Title I as a Resource for Addressing Barriers to Learning Excerpted from various sources by the Center for Mental Health in Schools at UCLA. 13

1. Note the differences in schoolwide vs. targeted assistance programs. Both have pros and cons, which would be better for your school at this time?

2. Depending on whether you are pursuing a schoolwide or targeted approach, you might choose a few of the identified funding sources through Title I in relation to the school's current or planned projects/activities.

III. Tools/Handouts 17

A. Mapping Activities and Funding Sources 19

1. The worksheet/spreadsheet is designed as a model. Feel free to expand and change worksheet to emphasize asset mapping before addressing needs, or customize to fit the school plan being developed. Depending on approach (schoolwide vs. targeted), you might need to make worksheets for each component of the plan.

B. Surfin' for Funds - An aid developed by the Center for Mental Health in Schools at UCLA. 25

1. This document is meant to help as you use the Internet to learn about what is available at the moment. It is meant to be a general do-it-yourself aid and as a supplement to seeking specific technical assistance from centers such as ours.

C. Healthy Youth Funding Project - CDC Resource (http://www2.cdc.gov/nccdphp/shpfp/index.asp)including a Database allowing you to search for federal, foundation, and state-specific funding sources. 31

1. This database is useful to supplement additional listings of funding opportunities. It is particularly useful to exclude funding that cannot be applied to a particular population or geographic region.

D. Ten Grant Writing Tips - Tips from SchoolGrants.org (http://www.schoolgrants.org/grant_tips3.htm). 35

1. There are a variety of useful guides to grant writing. Here's a brief example of one.

IV. Model Programs 39

A. An Example of Funding and Program Resources: The California Experience - Excerpted from Center packet entitled: *Financial Strategies to Aid in Addressing Barriers to Learning*, pp 71-82. Originally cited from *Funding and Program Resources: California's Healthy Start* by Rachel Lodge (Healthy Start Field Office: UC Davis, 1998). 40

1. Schools and Communities involved in (a) addressing barriers to development and learning and (b) promoting healthy development need to take stock of what they already have and what else is available to them.

2. Then, they need to analyze these resources and work to braid them together to develop a comprehensive, multifaceted continuum of interventions.

3. The attached example from California's Healthy Start Program reflects the first step (taking stock). A related aid is included with the tools in this Quick Training Aid.

B. Baltimore City Public Schools: School-Based Mental Health Programs 1998-1999 Overview. Adapted from Glass-Siegel, M. & Leslie, L. (1999). *Partnership between education and mental health: Baltimore's Experience*. Presented 9/17/1999. 50

1. Note the selected examples - these are examples of how addressing mental health issues led to positive changes in educational outcomes.

2. Also note the table at the bottom of the page. More than 1/2 of the funding came from the Local Educational Agency. Does this match the experience within your district?

V. Additional Resources 51

A.. The *No Child Left Behind Act of 2001* and Community Schools. *Community Schools Online*, Vol. II, No. 4, March 11, 2002. Available online: http://www.communityschools.org/newsletterv.2.4.html 52

B. Making Education Dollars Work: Understanding Resource Allocation *Insights on Education Policy, Practice, and Research*, Number 14, October 2001. Available online: http://www.sedl.org/policy/insights/n14/ 63

C. QuickFind on Financing & Funding (printer-friendly format)
To view the web-based quick find on ***Financing & Funding***, click here. 73

VI. Originals for Overheads 81

A. The central principle of all good financial planning

B. It is unlikely that a single financing approach will serve to support an agenda for major systemic changes

C. What are major financing strategies to address barriers to learning?

D. Where to look for financing sources/initiatives?

# I. Brief Overview

A. About Financing

B. Financing Mental Health for Children & Adolescents

C. Chart of School-Based Health Care Financing

# About Financing

This is excerpted from an Introductory Packet entitled: *Financial Strategies to Aid in Addressing Barriers to Learning*. Center for Mental Health in Schools at UCLA (2000).

While it's true that throwing money at problems doesn't solve them, it is also true that complex problems can't be dealt with effectively without financial resources.

With dwindling budgets, a critical focus of all reform efforts is how to underwrite the costs of new intervention approaches. Local, state, federal, public, private — all sources are being tapped and there is increasing discussion of how to develop new relationships/partnerships and blend resources. As a 1994 document prepared by the Center for the Study of Social Policy notes,* the discussions focus on "political and financial strategies that use current and future resources in new ways and that maximize all available sources of revenue." That document begins by noting the following essential points:

> First is the central principle of all good financial planning, that programs drive financing, not the other way around. Financial strategies must be used to support improved outcomes for families and children. And financing strategies which cannot be adequately adapted to program ends should not be used, even when they happen to generate more money than other approaches.
>
> Second, **no single financing approach will serve to support an ambitious agenda** for change. Financing packages should be developed by drawing from the widest possible array of resources. Many individuals or organizations are stuck on one approach to financing (usually the one that involves asking for more state or local general funds). Yet there are many alternatives. Financing is an art not a science, and creativity is the order of the day. In the end, more general funds may be necessary to support system changes, but these will only be forthcoming and deserved if (we) first make the best use of existing resources. . . .

With these points in mind, the Center for the Study of Social Policy offers the following four part framework as a guide to thinking about financing efforts to enhance programs and services for children.

- Redeployment: using available funds (e.g., investment based, capitation based, cut based, and material redeployment)
- Refinancing: freeing funds for reinvestment
- Raising revenue: generating new funding
- Restructuring financial systems: using financial structures to effect change.

At times, the challenge of financing needed reforms seems overwhelming, but each day brings-new opportunities and information on successful efforts.

**Financing reform of family and children's services: An approach to the systematic consideration of financing optuions or "The Cosmology of Financing."* Document from The Center for the Study of Social Policy, 1250 Eye Street, NW, Washington, DC 20005.

This is excerpted from a Center Brief and Fact Sheet entitled: *Financing Mental Health for Children and Adolescents*. pp. 7-8. Center for Mental Health in Schools (2000).

# *Financing Mental Health for Children & Adolescents*

Data on financing for mental health (MH) services and programs are difficult to amass. The difficulty arises from many factors. For one, the figures depend on whether the focus is on mental illness, psychosocial problems, and/or the promotion of general wellness. Other difficulties stems from variations in funding sources (e.g., public-private; national, state, or local levels), to whom the funds go (e.g., agencies, schools, or community based organizations), and for what purposes they are used (e.g., direct, administrative, and evaluative costs related to programs, services, initiatives, projects, training, research).

## *Data*

*Most information on MH expenditures focuses only on direct treatment of mental disorders, substance abuse, and dementias* (e.g., Alzheimer's disease). Adult and child data are not separated. As summarized in the 1999 Surgeon General's report on MH:

- total expenditures in 1996 were above $99 billion – about 7 percent of total U.S. health spending estimated at $943 billion a percentage decline over the decade
- more than two-thirds ($69 of the $99 billion) was consumed by MH services, with outpatient prescription drugs among the fastest-rising expenses (accounting for about 9 percent of total direct costs)
- treatment of substance abuse was almost $13 billion (about 1 percent of total health spending)
- public sector per capita costs for treating the 5.1 million individuals with serious mental illness (about 1.9 percent of the population) is estimated at $2,430 per year, leaving about $40 per year for persons without insurance and with problems not seen as severe.

Who paid? Approximately $37 billion (53 percent) for MH treatment came from public payers. Of the remaining $32 billion, $18 billion came from private insurance. Most of the rest was direct payment (including copayments related to private insurance, prescription costs not covered by Medicare, supplementary insurance, as well as direct payment by the uninsured or insured who chose not to use their insurance coverage for MH care.)

*Another Perspective Is Provided By What Is Spent in Schools*

- Federal government figures indicate 5.2 million are spent on special education. Overall costs are about $43 billion (and rising), with the federal government funding only about 5.3 billion. Estimates in many school districts indicate that about 20% of the budget can be consumed by special education. How much is used directly for efforts to address MH concerns is unknown, but given that over 50 percent of those in special education are diagnosed as learning disabled and over 8 percent are labeled emotionally/behaviorally disturbed, much of the budget may underwrite MH related activity.

- Looking at total education budgets, one group of investigators report that nationally 6.7 percent of school spending (about 16 billion dollars) is used for student support services, such as counseling, psychological services, speech therapy, health services, and diagnostic and related special services for students with disabilities. Again, the amount specifically devoted to MH is unclear, and the figures do not include costs related to time spent on such matters by other school staff, such as teachers and administrators. Also not included are expenditures related to special initiatives such as safe and drug free schools programs and special arrangements such as alternative and continuation schools and funding for special school-based health, family, and parent centers.

## FINANCING POLICY

The following are some conclusions about current status and future needs based on available studies:

- The public sector (particularly state and local government) is responsible for the greatest proportion of financing of MH services.
- The vast proportion of public and private funding for MH is directed at severe, pervasive, and/or chronic psychosocial problems. For those in crisis and those with severe impairments, current financing is only sufficient to provide access to a modicum of treatment, and even this is not accomplished without creating major inequities of opportunity. Few programs and services are available for children and youth, and those that are available too often are inadequate in nature, scope, duration, intensity, quality, and impact.
- Expansion of Medicaid funding for MH care has reduced direct state funding and profoundly reshaped delivery of care.
- In the private sector, insurance and the introduction of managed care are reshaping the field, with an emphasis on cost containment and benefit limits and with expanded coverage for prescription drugs.
- There is a trend toward tying significant portions of public financing for MH and psychosocial concerns to schools and a related trend toward encouraging school and community collaborations.
- Future funding for MH and psychosocial concerns needs to be less marginalized in policy and practice, less categorical in law and related regulations, less fragmented in planning and implementation, and more equitable with respect to access and to insurance coverage.

***The emerging program vision.*** A central financing principle is that funding should not drive programs, rather the program vision should drive financing. For communities and schools, the range of MH and psychosocial concerns confronting young people require a vision that encompasses much more than providing services for those with mental disorders. The activity must entail a multifaceted continuum of programs and services including those designed to:

- promote healthy social and emotional development (assets) and prevent problems (by fostering protective factors and resiliency and addressing barriers to development and learning)
- intervene as early after the onset of a problem as is feasible, and
- provide specialized assistance for persons with severe, pervasive, and/or chronic problems.

*Establishing the full continuum and doing so in an integrated, systematic manner requires weaving community and school resources together and requires financing for start-up costs and underwriting for ensuring that programs and services are available and accessible to all who can benefit.*

***Funding sources.*** Another basic funding principle is that no single source of or approach to financing is sufficient to underwrite major systemic changes. Thus, in addition to general agency and school funding, programs to address youngsters' MH related concerns increasingly are seeking access to many funding sources including:

- Medicaid and Supplemental EPSDT (Early Periodic Screening, Diagnosis, and Treatment)
- Maternal and Child Health (Title V) block grants
- ESEA (Elementary and Secondary Education Act) Title I and Title XI
- IDEA (Individuals with Disabilities Education Act)
- Community MH Services block grant
- programs from the several agencies concerned with promoting health, reducing violence and substance abuse, and preventing pregnancy, dropouts, and HIV/AIDS
- Titles IV-B, IV-E, and XX of the Social Security Act
- after school programs and job programs
- state-funded initiatives for school-linked services
- and, as feasible, private insurance reimbursements and private fee for services.

### *Opportunities to Enhance Funding*

- reforms that enable redeployment of existing funds away from redundant and/or ineffective programs
- reforms that allow flexible use of categorical funds (e.g., waivers, pooling of funds)
- health and human service reforms (e.g., related to Medicaid, TANF, S-CHIP) that open the door to leveraging new sources of MH funding
- accessing tobacco settlement revenue initiatives
- collaborating to combine resources in ways that enhance efficiency without a loss (and possibly with an increase) in effectiveness (e.g., interagency collaboration, public-private partnerships, blended funding)
- policies that allow for capturing and reinvesting funds saved through programs that appropriately reduce costs (e.g., as the result of fewer referrals for costly services)
- targeting gaps and leveraging collaboration (perhaps using a broker) to increase extramural support while avoiding pernicious funding
- developing mechanisms to enhance resources through use of trainees, work-study programs, and volunteers (including professionals offering pro bono assistance).

### *For More Information*

The Internet provides ready access to info on funding and financing.

*Regarding funding, see:*

>*School Health Program Finance Project Database* – http://www2.cdc.gov/nccdphp/shpfp/index.asp

>*School Health Finance Project of the National Conference of State Legislators* – http://ncsl.org/programs/health/pp/schlfund.htm

>*Snapshot from SAMHSA* – http://www.samhsa.gov

>*The Catalog of Federal Domestic Assistance* – www.gsa.gov/

>*The Federal Register* – www.access.gpo.gov/GPOAccess

>*GrantsWeb* – http://www.research.sunysb.edu/research/kirby.html

>*The Foundation Center* – http://fdncenter.org

>*Surfin' for Funds* – guide to internet financing info http://smhp.psych.ucla.edu/ (search *Quick Find*)

*Regarding financing issues and strategies, see:*

>*The Finance Project* – http://www.financeproject.org

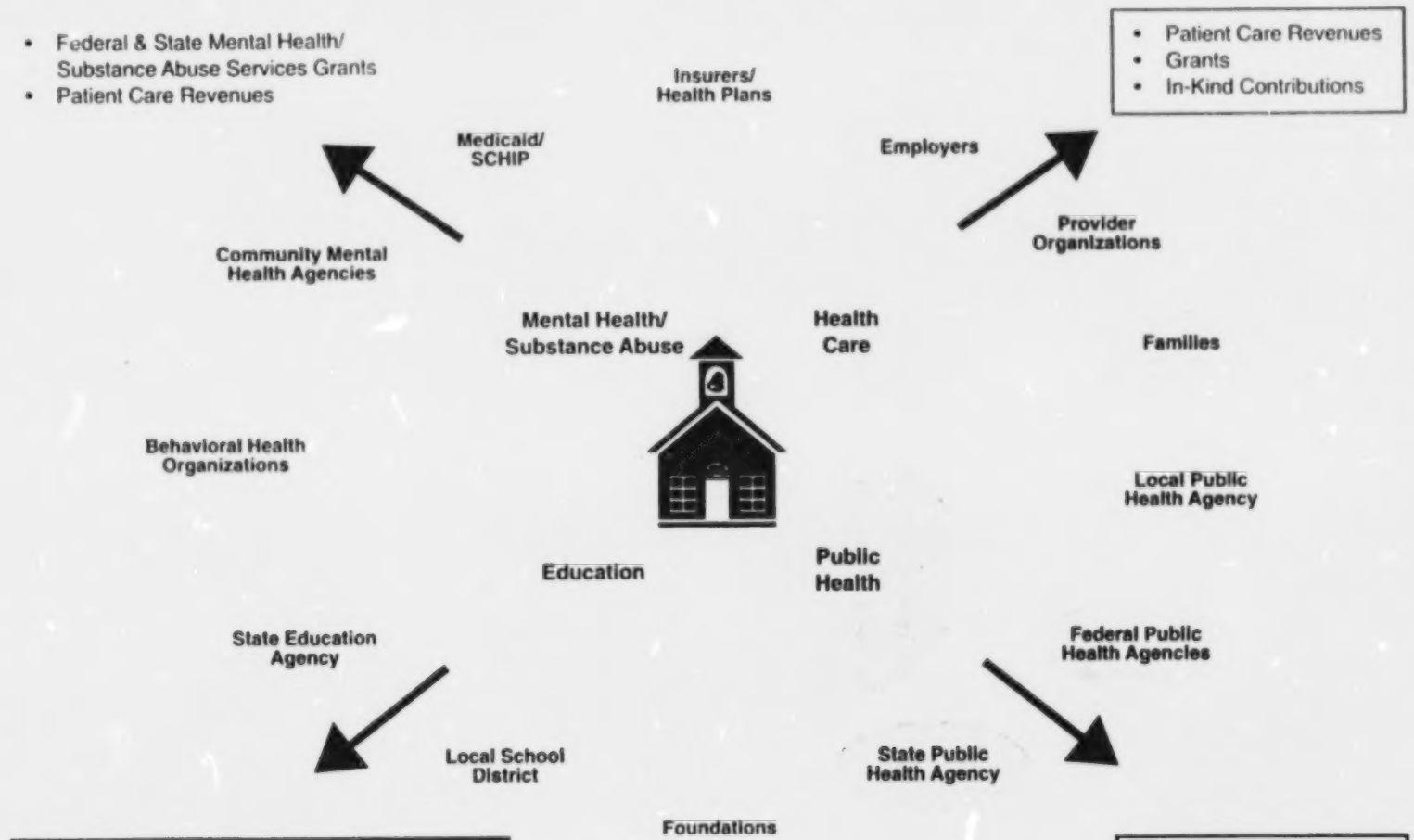
>*Center for Study of Social Policy* – http://www.cssp.org

>*Center on Budget and Policy Priorities* – http:www.cbpp.org

>*Fiscal Policy Studies Institute* – www.resultsaccountability.com

>*Making the Grade* – http://www.gwu.edu/~mtg/sbhcs/financing.htm

# Chart of School-Based Health Care Financing

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Adapted from Creative Financing for School-Based Health Centers: A Tool Kit, Figure 5.2, pg. 150. Tool kit developed by the National Assembly on School-Based Health Care and the W.K. Kellogg Foundation.

## II. Fact Sheets/Practice Notes

A. Funding Initiatives

B. Title I as a Resource for Addressing Barriers to Learning

# Funding Initiatives

Table: Risk Factors and Selected Federal Policies Affecting Children's Emotional and Social Development and Readiness for School (from *Resource Guide to Selected Federal Policies Affecting Children's Social and Emotional Development and Their Readiness for School*, by D.A. Cavanaugh, J. Lippitt, and O. Moyo. The Child Mental Health Foundations and Agencies Network [FAN]).

| | Child Health | | | | | | | Early Childhood Care and Education | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | MCHBG[1] | Healthy Start | Medicaid | EPSDT[2] | CHIP[3] | SESS[4] | CMHSBG[5] | Head Start | Early Head Start | CCDBG[6] | ESEA[7] Title I Part A | ESEA Title I Part B Even Start | IDEA[8] Part B State Grants | IDEA Part B Preschool Grants | IDEA Part C |
| *Risk Factors** | | | | | | | | | | | | | | | |
| **Individual Child** | | | | | | | | | | | | | | | |
| Low Birthweight and Neurodevelopmental Delay | ● | ● | ● | ● | ● | ● | | ● | ● | | | | ● | ● | ● |
| Other Medical Problems | ● | ● | ● | ● | ● | | | ● | ● | | | | ● | ● | ● |
| Cognitive Deficits | ● | ● | | | | ● | | ● | ● | ● | ● | ● | ● | ● | ● |
| Temperament and Personality Problems | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | | ● | ● | ● | ● |
| Early Behavior and Adjustment Problems | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | | ● | ● | ● | ● |
| Age at School Entry | | | | | | | | | | | | | | | |
| Inadequate Nutrition | ● | ● | | | | | | ● | ● | | | ● | | | |
| **Microsystems: Family and Peers** | | | | | | | | | | | | | | | |
| Family Composition | | | | | | | | | | | | | | | |
| Low Level of Maternal Education | | | | | | ● | | ● | ● | | | ● | | | |
| Parental Substance Abuse | | ● | ● | | | ● | | | | | | | | | |
| Parental Psychopathology | | ● | ● | | | ● | ● | | | | | | | | |
| Problematic Parenting Practices | ● | ● | | | | ● | | ● | ● | | | ● | ● | ● | ● |
| Child Maltreatment | | | ● | ● | ● | ● | | | | | | | | | |
| Insecure Attachment | ● | ● | ● | ● | ● | ● | ● | ● | ● | | | | ● | ● | ● |
| Difficulties with Peer Relationships | | | | | | ● | | ● | ● | ● | ● | ● | ● | ● | ● |
| **Microsystems: Day Care and School** | | | | | | | | | | | | | | | |
| Non-maternal Care | | | | | | ● | | ● | ● | ● | ● | ● | ● | ● | ● |
| Relationships with Teachers | | | | | | ● | | ● | ● | ● | ● | ● | ● | ● | ● |
| **Exosystem: Neighborhood, Community, and Socioeconomic Status** | | | | | | | | | | | | | | | |
| Immigrant Status** | | | | | | | | | | | | | | | |
| Minority Status** | | | | | | | | | | | | | | | |
| Low Socioeconomic Status | ● | ● | ● | ● | ● | ● | | ● | ● | ● | ● | ● | | | |

[1]Maternal & Child Health Block Grant [2]Early Periodic Screening, Diagnosis, & Treatment [3]Child Health Insurance Program
[4]Starting Early Starting Smart [5]Community Mental Health Services Block Grant [6]Child Care Development Block Grant
[7]Elementary & Secondary Education Act [8]Individuals with Disabilities Education Act



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Table: Risk Factors and Selected Federal Policies Affecting Children's Emotional And Social Development and Readiness for School (cont'd)

| | Family Support and Child Welfare | | | | | | | Child Nutrition | | | Socioeconomic status | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Family and Medical Leave Act | SSA[1] Title IV-B, Child Welfare Services | SSA TitleIV-B, Safe and Stable Families | CAPTA[2] | SSA Title XX, Social Services Block Grant | SSA Title IV-E, Foster Care and Adoption | Adoption and Safe Families Act | Food Stamp Program | WIC[3] | Child and Adult Care Food Program | TANF[4] | SSI[5] | EITC[6] | DCTC[7] |
| *Risk Factors** | | | | | | | | | | | | | | |
| **Individual Child** | | | | | | | | | | | | | | |
| Low Birthweight and Neurodevelopmental Delay | ● | | ● | ● | | | | | | | | ● | | |
| Other Medical Problems | ● | | | ● | | | | | | | | ● | | |
| Cognitive Deficits | | | | | ● | ● | | | | | | | | |
| Temperament and Personality Problems | | ● | ● | ● | ● | ● | ● | | | | | ● | | |
| Early Behavior and Adjustment Problems | | ● | ● | ● | ● | ● | ● | | | | | ● | | |
| Age at School Entry | | | | | | | | | | | | | | |
| Inadequate Nutrition | | | | | | | | ● | ● | ● | | | | |
| **Microsystems: Family and Peers** | | | | | | | | | | | | | | |
| Family Composition | | | | | | | | | | | ● | | | |
| Low Level of Maternal Education | | | | | | | | | | | ● | | | |
| Parental Substance Abuse | | | | ● | ● | | | | | | | | | |
| Parental Psychopathology | | | | ● | ● | | | | | | | ● | | |
| Problematic Parenting Practices | | ● | ● | ● | ● | ● | ● | | | | | | | |
| Child Maltreatment | | ● | ● | ● | ● | ● | ● | | | | | | | |
| Insecure Attachment | ● | ● | ● | ● | ● | ● | ● | | | | | | | |
| Difficulties with Peer Relationships | | | | | ● | | | | | | | | | |
| **Microsystems: Day Care and School** | | | | | | | | | | | | | | |
| Non-maternal Care | | | ● | | ● | | | | | ● | | | | ● |
| Relationships with Teachers | | | | | ● | | | | | | | | | |
| **Exosystem: Neighborhood, Community, and Socioeconomic Status** | | | | | | | | | | | | | | |
| Immigrant Status** | | | | | | | | ● | | | ● | ● | | |
| Minority Status** | | | | | | | | | | | | | | |
| Low Socioeconomic Status | | | | | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● |

* ● – indicates the policy affects the risk factor.

** The risk factors of immigrant and minority status identified by Dr. Huffman are interrelated with low socioeconomic status and, with three exceptions, cannot be meaningfully separated for the purposes of this analysis. For the immigrant status risk factor, the interaction with policies identified here indicates possible negative effects, including exclusion from program eligibility, because of immigrant status.

[1]Social Security Act [2]Child Abuse Prevention & Treatment Act [3]Special Supplemental Nutrition Program for Women, Infants, & Children
[4]Temporary Assistance for Needy Families [5]Supplemental Security Income [6]Earned Income Tax Credit [7]Dependent Care Tax Credit



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# Title I as a Resource for Addressing Barriers to Learning

This aid has been compiled from a variety of sources by the Center for Mental Health in Schools at UCLA.

"Title I, the largest single federal investment in education, now provides $10.3 billion annually (an increase of $1.6 billion over last year's appropriation) to school systems across the country to improve educational outcomes for students at risk of educational failure."[1]

**Schoolwide Programs** (60% of funds)[3]

"Schoolwide programs form the centerpiece of the ESEA's new vision... A schoolwide program school may now use its Title I, Part A funds coupled with other Federal education funds to upgrade the school's entire educational program, rather than to target services only on identified children." A schoolwide program must have the following eight characteristics[2]:

1. A schoolwide needs assessment comparing student performance with state standards.
2. Schoolwide reform strategies using instruction proven to be effective, while also providing special services for target populations.
3. All staff will be highly qualified.
4. Professional development for all staff, but especially educational staff
5. Strategies to get parents and guardians more involved.
6. Strategies to ease the transition from early childhood programs into elementary school.
7. Teachers are included in the decision-making process.
8. Any students who have difficulty meeting state standards will be given "effective, timely additional assistance."

**Targeted Assistance Programs**

Targeted assistance programs can only use Part A funds for programs that target children with the greatest need. Additionally, "Part A funds must be used for services that supplement, and do not supplant, the services that would be provided, in the absence of the Part A funds, from non-Federal sources." A targeted assistance program must have the following eight characteristics[4]:

1. Help children in the target group meet the state performance standards.
2. Use "effective means for improving achievement."
3. Incorporate planning for the target group into existing plans and structure.
4. Provide instruction that gives student more chances to learn, provides "an accelerated, high-quality curriculum," and allows students to stay in mainstream classes whenever possible.
5. "Coordinate with and support the regular education program."
6. Use highly qualified staff.
7. Provide professional development opportunities for those working with participating children.
8. Strategies to get parents and guardians more involved.

**Recent Changes to Title I**[1]

- **Increased emphasis on extended learning opportunities**. The new bill calls fro increases in the amount and quality of learning time, through extended school-year, before-, and after-school programs, summer programs, and other opportunities that enhance the school-day curriculum.

- **Coordination of services and programs serving the same population**. ESEA strengthens schools' ability to use Title I funds for coordination of service and programs. Under the legislation, each program must coordinate and integrate federal, state, and local services and programs under ESEA (professional development for teachers, instruction for limited English proficient students, technology improvements, 21st Century Community Learning Centers and drug and violence prevention), nutrition programs, Head Start, adult education, vocational and technical education and job training... program developers could make the case for using Title I or other ESEA funds to support a coordinator who serves to integrate and coordinate the variety of activities and services for school-age children and youth.

- **Increased parental involvement**. Program developers can point to out-of-school time and community school initiatives as a means of engaging and involving parents, providing them with the support they need to help their children reach their full academic potential.

- **Development of transition plans from early childhood programs to elementary school**. Under the legislation, Title I schools must develop a plan to assist preschool children transitioning from early childhood programs, such as Head Start, Early Reading First, or a state-run preschool program, to local elementary schools. This provision, in addition to parental involvement, can help community school leaders make the case for more integrated services for families, including younger children.

**Getting Funding through Title I, Some Examples**[5]:

***Part A***: "Provides local educational agencies (LEAs, or school districts) with extra resources to help improve instruction in high-poverty schools and ensure that poor and minority children have the same opportunity as other children to meet challenging State academic standards."

- **Getting Funded**: "Allocations are based primarily on the number of poor children in each school district (LEA). LEAs receive a single combined allocation that is adjusted by the State under certain circumstances."
- **Special Notes**: "LEAs must use between 5 and 10 percent, inclusive, of their Part A allocations for professional development aimed at ensuring that all teachers are highly qualified by the end of the 2005-06 school year (the requirement changes to a simple 5 percent floor in 2004)."

***Section 1003 (g)***: Funding for "a new Assistance for Local School Improvement grant program... to support school improvement activities under section 1116 of Part A of Title I."

- **Getting Funded**: Formula grants are made to States based on "current-year shares of funds received under Parts A, C, and D of Title I by the States, the Bureau of Indian Affairs, and the outlying areas." States then make at least 95% of the funds received available to LEAs via competitive subgrants.

***Part B, Subpart 2***: "Authorizes the Secretary to make competitive awards for up to 6 years to support local efforts to enhance the early language, literacy, and pre-reading development of preschool-age children, particularly those from low-income families, through strategies and professional development that are based on scientifically based reading research."

- **Getting Funded**: LEAs eligible to receive subgrants under Part B, Subpart 1, as well as public and private organizations in the community of eligible LEAs can apply for these competitive grants.

***Part B, Subpart 3***: "Supports family literacy programs that integrate early childhood education, adult education, parenting education, and literacy activities for low-income families..."

- **Getting Funded**: Federal to State "formula allocations are based on each State's current-year share of Title I, Part A funds, with a minimum State allocation of the greater of $250,000 or ½ of 1 percent." SEAs then "make competitive subgrants to partnerships of LEAs and other organizations, giving priority to proposals that target areas designated as empowerment zones or enterprise communities or that propose to serve families in other high-poverty areas."
- **Special Notes**: SEAs are allowed to reserve up to 6% of their allocation for program administration, technical assistance, development of evaluative indicators, and program improvement.

***Part D***: Provides "financial assistance to: (1) State educational agencies for educational services to neglected or delinquent children and youth under age 21 in State-run institutions for juveniles and in adult correctional institutions, and (2) local educational agencies for educational services to children and youth in local correctional facilities and to other at-risk populations."

- **Getting Funded**: Funds are given to States based on a formula (including per-pupil expenditures and count of children in State-operated institutions). The State then "makes subgrants to each state agency based on its proportionate share of the States adjusted enrollment count of neglected or delinquent children and youth."

***Part F***: "Program to support the development, adoption, and implementation of comprehensive school reforms that are based on reliable research and effective practice and that will improve the academic achievement of children in participating schools."

- **Getting Funded**: Allocation uses a formula "based on each State's prior-year share of Title I Basic Grants (Sec. 1124)." States then make competitive awards available to LEAs that receive funds under Title I, Part A, "with priority for LEAs planning to use funds in schools in improvement or corrective action under Title I."

- **Special Notes**: New changes have added two components to the nature of reforms required for funding: (1) requires scientific evidence behind reforms or strong evidence that the model would improve student performance and (2) requires support for school staff.

***Part H***: Creates a "new program to assist schools with high dropout rates to implement dropout prevention programs." Funds will assist schools with high annual dropout rates receiving Title I, Part A funds by supporting programs for students in grades 6-12.

- **Getting Funded**: "At appropriations levels of less than $75 million, authorizes competitive awards to States or LEAs. At appropriations levels between $75 million and $250 million, authorizes competitive awards to States. At appropriation levels of $250 million or more, authorizes formula grants based on each State's prior-year share under Title I, Part A." Within the State, competitive awards are made to eligible LEAs.
- **Special Notes**: "Requires grantees to use funds to implement research-based, sustainable, and coordinated school dropout prevention and reentry programs. Identifies 10 allowable activities, including: professional development; reduction in pupil-teacher ratios; counseling and mentoring for at-risk students; and implementing comprehensive school reform models. Requires LEAs to provide technical assistance to any secondary school that receives program funds for two years and has not made progress toward lowering its dropout rate."

**References**


1. The Finance Project (2002). *Using Title I to Support Out-of-School Time and Community School Initiatives: Strategy brief*, Volume 2, Number 4, January. pp 2, 4, 5,

2. Schoolwide Programs. Policy Guidance for Title I, Part A: Improving Basic Programs Operated by Local Educational Agencies - April 1996. Available online: http://www.ed.gov/legislation/ESEA/Title_I/swpguid1.html

3. Fact Sheet on Title 1, Part A. July 2001. Available online: http://www.ed.gov/offices/OUS/PES/ed_for_disadvantaged.html#factsheet

4. Targeted Assistance Schools. Policy Guidance for Title I, Part A: Improving Basic Programs Operated by Local Educational Agencies - April 1996. Available online: http://www.ed.gov/legislation/ESEA/Title_I/target.html

5. The *No Child Left Behind Act of 2001*: Preliminary Overview of Programs and Changes. Available online: http://www.ed.gov/offices/OESE/esea/progsum/

## III. Tools/Handouts

A. Mapping Funding Sources

B. Surfing for Funds

C. Healthy Youth Funding Project

D. Ten Grant Writing Tips

The following aids are excerpted from a Technical Assistance Packet entitled: *Resource Mapping and Management to Address Barriers to Learning: An Intervention for Systemic Change*. Center for Mental Health in Schools at UCLA (2002).

## Mapping Activities and Funding Sources

•Spreadsheet

***Summary of Activities (programs and services) relevant to the Area of _____***

| *Name of Activity* | *Contact Person* | *Schedule* | *Grade Level* | *Eligibility* | *How to Access* | *Capacity (number)* | *Budget and Funding Source* | *Capacity re. volunteers* | *Additional Information* |
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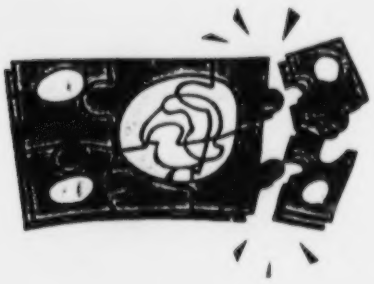

# Mapping Funding Sources

As schools and communities work to develop partnerships, their interest is in existing resources and what new support is needed. Mapping existing funding is a key facet of asset mapping and is fundamental to comprehensive analyses and (re)deployment of resources.

The following tool can be used as a guide for identifying the various sources that may be providing funds for programs and services at a school.

As existing funding is identified, it can be mapped in a standard budgeting spreadsheet form at.

This is also a good stage at which to map other relevant resources such as facilities and equipment that are relevant to the endeavors of addressing barriers to learning and promoting healthy development.

# Guide for Identifying Various Sources that May be Providing Funds to a School

Excerpted from our Introductory packet: *Financial Strategies to Aid in Addressing Barriers to Learning* (pp63-65)

***Education***

Elementary and Secondary Education Act/Improving Americas Schools Act (ESEA/IASA)

Title I—Helping Disadvantaged Children Meet High Standards
- Part A: Improving Basic Programs Operated by LEAs
- Part B.. Even Start Family Literacy
- Part C: Migratory Children
- Part D: Neglected or Delinquent

Title II—Professional Development (upgrading the expertise of teachers and other school staff to enable them to teach all children)

Title III— Technology for Education

Title IV—Safe and Drug-Free Schools

Title V—Promoting Equity (magnet schools, women's's educational equity)

Title VI—Innovative Education Program Strategies (school reform and innovation)

Title VII—Bilingual Education, Language Enhancement, and Language Acquisition (includes immigrant education)

Title IX—Indian Education

Title X—Programs of National Significance Fund for the Improvement of Education

Obey-Porter Comprehensive School Reform (includes scale-up of New American Schools)

21st Century Community Learning Centers (after school programs)

Other after school programs (involving agencies concerned with criminal justice, recreation, schooling, child care, adult education)

McKinney Act (Title E)—Homeless Education

Goals 2000— "Educational Excellence"

School-Based Service Learning (National Community Service Trust Act)

School-to Career (with the Labor Dept.)

Vocational Education

Individuals with Disabilities Education Act (IDEA)

Social Securities Rehabilitation Act of 1973, Title V—commonly referred to as Section 504 —this civil rights law requires schools to make reasonable accommodations for students with disabilities so they can participate in educational programs provided others. Under 504 students may also receive related services such as counseling even if they are not receiving special education.

Head Start and related pre-school interventions

Adult Education (including parent education initiatives and the move toward creating Parent Centers at schools)

Related State/Local Educational Initiatives
- e.g., State/Local dropout prevention and related initiatives (including pregnant minor programs); nutrition programs; state and school district reform initiatives; student support programs and services funded with school district general funds or special project grants; school improvement program; Community School Initiatives, etc.

***Labor & HUD***

Community Development Block Grants
Job Training/Employment
- Job Corps
- Summer Youth (JTPA Title II-B)
- Youth Job Training (JTPA Title II-C)
- Career Center System Initiative
- Job Service
- Youth Build

***Health***

Title XIX Medicaid Funding
- Local Educational Agency (LEA) Billing Option
- Targeted Case Management—Local Education Agency
- Targeted Case Management—Local Government Agency
- Administrative Activities
- EPSDT for low income youth
- Federally Qualified Health Clinic

Public Health Service
- Substance Abuse and Mental Health Services Administration (SAMHSA) Initiatives (including Substance Abuse Prevention and Treatment Block Grant, Systems of Care initiatives)
- Center for Substance Abuse Treatment/Center for Substance Abuse Prevention
- National Institute on Alcohol Abuse & Alcoholism /National Institute on Drug Abuse
- National Institute on Child Health

- Health Resources and Services Administration (HRSA) Initiatives
  - Maternal & Child Health Bureau
    - Block Grant--Title V programs--at State and local levels for
      - >reducing infant mortality & the incidence of disabling conditions
      - >increase immunizations
      - >comprehensive perinatal care
      - >preventive and primary child care services
      - >comprehensive care for children with special health needs
      - >rehabilitation services for disabled children under 16 eligible for SSI
      - >facilitate development of service systems that are comprehensive, coordinated, family centered, community based and culturally competent for children with special health needs and their families

  - Approximately 15% of the Block Grant appropriation is set aside for special projects of regional and national significance (SPRANS) grants.

  - There is also a similar Federal discretionary grant program under Title V for Community Integrated Service Systems (CISS)—Includes the Home Visiting for At-Risk Families program.

- Ryan White Title IV (pediatric AIDS/HIV)

- Emergency Medical Services for Children programs

- Healthy Start Initiative

***Health*** (continued)

- Healthy Schools, Healthy Communities—a collaborative effort of MCHB and the Bureau of Primary Health Care—focused on providing comprehensive primary health care services and health education promotion programs for underserved children and youth (includes School-Based Health Center demonstrations)

- Mental health in schools initiative—2 national T.A. centers & 5 state projects

Administration for Children and Families-Family Youth Services Bureau

- Runaway and Homeless Youth Program
- Youth Gang Drug Prevention Program
- Youth Development—Consortia of community agencies to offer programs for youth in the nonschool hours through Community Schools
- Youth Services and Supervision Program

Centers for Disease Prevention and Control (CDC)

- Comprehensive School Health—infrastructure grants and related projects
- HIV & STD initiatives aimed at youth

Child Health Insurance Program

Adolescence Family Life Act

Family Planning (Title X)/Abstinence Education

Robert Wood Johnson Foundation States—Making the Grade initiatives (SBHCs)

Related State/Local health services and health education initiatives (e.g., anti-tobacco initiatives and other substance abuse initiatives; STD initiatives; student support programs and services funded with school district general funds or special project grants; primary mental health initiatives; child abuse projects; dental disease prevention; etc.)

***Social Service***

Temporary Assistance for Needy Families (TANF)
Social Services Block Grant
Child Support Enforcement
Community Services Block Grant
Family Preservation and Support Program (PL 103-66)
Foster Care/Adoption Assistance
Adoption Initiative (state efforts)
Independent Living

***Juvenile Justice (e.g., Office of Juvenile Justice and Delinquency Prevention)***

Crime prevention initiatives
Gang activities, including drug trafficking
State Formula & Discretionary Grants
Parental responsibility initiatives
Youth and guns
State/Local Initiatives

| *Agency Collaboration and Integrated Services Initiatives* |
|---|
| • Federal/State efforts to create Interagency Collaborations<br>• State/Foundation funded Integrated Services Initiatives (school-linked services/full services school/Family Resource Centers)<br>• Local efforts to create intra and interagency collaborations and partnerships (including involvement with private sector) |
| *On the way are major new and changing initiatives at all levels focused on* |
| • child care (Child Care and Development Block Grant) |
| *Related to the above are a host of funded research, training, and TA resources* |
| • Comprehensive Assistance Centers (USDOE)<br>• National Institute on the Education of At-Risk Students (USDOE)<br>• Regional Resource & Federal Centers Network (USDOE, Office of Spec. Educ. Res. & Ser.)<br>• National Training and Technical Assistance centers for MH in Schools (USDHHS/MCHB)<br>• Higher education initiatives for Interprofessional Collaborative Education |

Mental Health in Schools Center
Training and Technical Assistance
UCLA

# Surfin' for Funds

Those working in the best interests of youngsters always are on the look out for funding opportunities. The picture is constantly changing. We have moved into an era of creative financing. Fortunately, the Internet now provides a major tool for identifying many funding opportunities and offers access to helpful documents and organizations that share expertise related to relevant financial strategies.

This document is meant to help as you use the Internet to learn about what is available at the moment. It is meant to be a general do-it-yourself aid and as a supplement to seeking specific technical assistance from centers such as ours. (If you are not personally connected to the Internet, hopefully you have access through your work site, local libraries, or a friend.)

## *I. Accessing Information through Sites Compiling Information on Funding Opportunities*

**Catalog of Federal Domestic Assistance - www.cfda.gov/**

The Catalog of Federal Domestic Assistance is a government-wide compendium of Federal programs, projects, services, and activities which provide assistance or benefits to the American public. It details every federal grant, including description, eligibility, deadlines, and award procedures. It contains financial and nonfinancial assistance programs administered by departments and establishments of the Federal government. To directly do an online search, go to -- http://www.cfda.gov/public/faprs.asp -- The catalogue can be ordered from the Superintendent of Documents, U.S. Government Printing Office, Washington D. C. 20402, 202-512-1800.

**Federal Register - http://ww1.access.gpo.gov/GPOAccess/sitesearch/su_docs_aces/desc004**.html

The Federal Register is the "main" resource listing federal funding opportunities. It is published Monday through Friday, except Federal holidays. The current year's Federal Register database is updated daily by 6 a.m. Documents are available as ASCII text and Adobe Acrobat Portable Document Format (PDF) files.

**Notices of Funding Availability - http://ocd.usda.gov/nofa.htm**

Notices of Funding Availability (NOFAs) are announcements that appear in the Federal Register, printed each business day by the United States government, inviting applications for Federal grant programs. This page allows you to generate a customized listing of NOFAs.

**Snapshot from SAMHSA - http://www.samhsa.gov**

Snapshot is a new series dedicated to simplifying and amplifying information about SAMHSA's grant programs.

The Center is co-directed by Howard Adelman and Linda Taylor and operates under the auspices of the School Mental Health Project, Dept. of Psychology, UCLA. Support comes in part from the Office of Adolescent Health, Maternal and Child Health Bureau (Title V, Social Security Act), Health Resourcesand Services Administration (Project #U93 MC 00175) with co-funding from the Center for Mental Health Services, Substance Abuse and Mental Health Services Administration. Both are agencies of the U.S. Department of Health and Human Services

U.S. Department of Health and Human Services
HRSA
Health Resources and Services Administration
Maternal and Child Health Bureau

CMHS
Center for Mental Health Services
SAMHSA
Substance Abuse & Mental Health Services Administration

**School Health Program Finance Project Database - http://www2.cdc.gov/nccdphp/shpfp/index.asp**
Designed to share with staff in local school districts practical information about how they can acquire funds for developing and improving various components of school health programs. SHPFP staff 1) compiles and organizes information about funding sources, including information about eligibility and application requirements; 2) tracks and updates changes in funding availability, legislation, and administrative regulations that may change these sources and requirements; 3) makes such information accessible to relevant organizations and individuals through electronic online information channels; 4) works with relevant organizations to help national, state, and local staff learn how to use the information; and 5) publishes reports about the evolving availability and nature of the diverse funding sources. The School Health Program Finance Project searchable database contains information on federal, foundation, and state-specific funding sources for school health programs.

**TENET's Educational Grant Programs Webpage - http://www.tenet.edu/announce/grant.html#Fed**
Provides a sampling of major federal education grant programs with links to specific agencies.

**School Grants - http://www.schoolgrants.org/grant_opps.htm**
Posts all types of grants for schools, teachers, and students. Provides links to federal and state agencies and foundations (http://www.schoolgrants.org/Links/links.htm)

**The Finance Project - http://www.financeproject.org**
The Finance Project is a national initiative to create knowledge and share information that will lead to the improved well-being of children, families, and communities. The Finance Project develops working papers and other tools and products, convenes meetings, roundtables, and forums, and conducts technical assistance activities. Their website lists New Initiatives and Project Descriptions and publications & resources such as: *Federal Financing Issues and Options; State & Local Financing Issues and Options; Financing Comprehensive, Community-based Supports, and Services; Results-based Planning, Budgeting, Management, and Accountability Issues; Financing Early Childhood Supports and Services; School Finance Issues* The Finance Project also hosts the Welfare Information Network, a valuable source of information regarding welfare, income security, and welfare to work programs – http://www.welfareinfo.org/

**The Foundation Center - http://fdncenter.org/**
The mission of the Foundation Center is to foster public understanding of the foundation field by collecting, organizing, analyzing, and disseminating information on foundations, corporate giving, and related subjects. It publishes the *Philanthropy News Digest*, a weekly listing of requests for proposals (RFPs) from U.S. grantmakers. (See -- http://fdncenter.org/pnd/current/index.html)

**GrantsWeb -http://www.research.sunysb.edu/research/kirby.html#index**
GrantsWeb is a starting point for accessing grants-related information and resources on the Internet. GrantsWeb organizes links to grants-related Internet sites and resources, including funding opportunities, grants data bases, policy developments, and professional activities. GrantsWeb is in the early stages of development.

**American Psychological Association -http://www.apa.org**
Go to *Search;* type in Grants. Provides a useful summary listing of many funding opportunities.

## *II. Major Public Funding Agencies*

**Department of Health & Human Services -http://www.dhhs.gov/progorg/**

The simplest way to check for grants in the various agencies of this Department is to go to the Catalog of Federal Administrative Assistance as listed in the previous section of this document - **www.cfda.gov/**. Alternatively, go to the Department's web address and click on the agency you want to check out (e.g., Administration for Children and Families -- ACF, Centers for Disease Control and Prevention -- CDC, Health Resources and Services Administration -- HRSA; National Institutes for Health -- NIH; Substance Abuse and Mental Health Services Administration -- SAMHSA. Once at the site, you can go to the Grants pages and find out about agency grants, including what the various units are offering.

For example:

On SAMHSA's grant page (http://www.samhsa.gov/GRANT/gfa_kda.htm), you will find information on grants from the Center for Mental Health Services, the Center for Substance Abuse Prevention, and the Center for Substance Abuse Treatment.

On HRSA's grant page (http://www.hrsa.dhhs.gov/grantsf.htm), you will find information on grants the Bureau of Primary Health Care, the Bureau of Health Professions, Bureau of Maternal and Child Health and the HIV/AIDS Bureau.

On NIMH's grant page (http://www.nimh.nih.gov/grants/grants/cfm), you will find program announcements and requests for application.

On NIDA's funding page (http://165.112.78.61/Funding.html), you will find announcements.

On NIAAA's grant page (http://silk.nih.gov/silk/niaaa1/grants/grants.htm), you will find program announcements, requests for applications and other relevant information.

Examples of types of relevant grant opportunities the DHHS has funded recently include:

>Comprehensive Community Mental Health Services for Children with SED
>Conference Grants Program
>Homeless Families Program
>Community Action Grants for Service Systems Change,
>National Training and Technical Assistance Center for Children
>Violence Prevention/Resilience Development -- School and Community Action Grants
>Violence Prevention Coordinating Center
>Community-Initiated Prevention Interventions
>Family Strengthening
>Substance Abuse Prevention/HIV Care
>Adolescent Treatment Models
>Targeted Capacity Expansion Program
>Community Action Grants
>Practice/Research Collaboratives
>Comprehensive Community Treatment Program for the Development of New and Useful Knowledge
>National Training Institute for Child Care Health Consultants
>National Resource Center for Health and Safety in Child Care
>Adolescent Health Center for State Maternal and Child Health Personnel
>Maternal and Child Health Provider Partnerships
>Community Organization Grants (COG) Program
>Interagency -- with Departments of Justice and Education – http://www.ed.gov/offices/OESE/SDFS
Safe Schools/Healthy Students Initiative
School Violence Prevention and Early Childhood Development Activities

**Health Care Financing Administration (HCFA) -http://www.hcfa.gov/**

Provides general information on service funding related to Medicaid/EPSDT and the State Children's Health Insurance Program (SCHIP). Specific information can be found on each state's website, which can be accessed via the U.S. State & Local Gateway - http://www.statelocal.gov/

**Department of Education - http://www.ed.gov/GrantApps**

The simplest way to check for grants in the various units of DOE is to go to the site listed above or go to http://www.ed.gov/funding.html or to the Catalog of Federal Administrative Assistance as listed in the previous section of this document - **www.cfda.gov/**. Another quick option related to the most recent application notices is to go to **Federal Register ED Announcements - http://gcs.ed.gov/fedreg/announce.htm**

Examples of types of relevant grant opportunities the DOE has or may fund include:

>Alternative Strategies: Grants to Reduce Student Suspensions and Expulsions, and Ensure Educational Progress of Suspended and Expelled Students
>Neglected and Delinquent/High Risk Youth Program
>Even Start Statewide Family Literacy Initiative Grants
>21st Century Community Learning Centers Program
>Parental responsibility/Early Intervention Resource Centers
>Teacher Quality Enhancement Grants
>Character Education
>Emergency Immigrant Education Program
>Goals 2000 Comprehensive Local Reform Assistance Program
>Developing Hispanic Serving Institutions Program
>Linking Policy and Practice Audiences to the 1997 Amendments of IDEA
>State and Federal Policy Forum for Program Improvement
>Center on Achieving Results in Education for Students with Disabilities (special educ.)
>Rehabilitation Short-Term Training (special educ.)
>Centers for Independent Living (special educ.)
>Special Demonstration Programs (special educ.)
>Community Parent Resource Centers (special educ.)
>Elementary School Counseling Demonstration
>Middle School Drug Prevention and School Safety Program Coordinators
>State Grants for Incarcerated Youth Offenders
>Civic Education
>Systems-Change Projects To Expand Employment Opportunities for Individuals With Mental or Physical Disabilities, or Both, Who Receive Public Support
>Safe and Drug-Free Schools
>Interagency --with Departments of Justice and HHS – http://www.ed.gov/offices/OESE/SDFS
Safe Schools/Healthy Students Initiative
School Violence Prevention and Early Childhood Development Activities

*Note:* Opportunities exist to transfer a percentage of various federal grants to enable better outcomes related to the intent of the grant. For example, Title XI of the Improving Americas Schools Act of 1994 allows school districts, schools, and consortia of schools to use up to 5% of their ESEA funds to develop, implement, or expand efforts to coordinate services. A similar provision was included in the reauthorization of IDEA. And with respect to social services block grants, there is a provision that allows each State to transfer up to 10% of its allotment for any fiscal year to preventive health and health services, alcohol and drug abuse, mental health services, maternal and child health services, and low-income energy assistance block grants in order to enable the State to furnish social services best suited to the needs of individuals residing in the State.

**Office of Juvenile Justice and Delinquency Prevention (OJJDP), Department of Justice - http://ojjdp.ncjrs.org**

See OJJDP website for Notice of Comprehensive Program Plan for Fiscal Year 2000

Examples of types of relevant grant opportunities in which the Department of Justice is or has been involved:

>Mental Health and Juvenile Justice: Building a Model for Effective Service Delivery
>Fiscal Year 2000 Missing and Exploited Children's Program
>Interagency --with Departments of Education and HHS – http://www.ed.gov/offices/OESE/SDFS
Safe Schools/Healthy Students Initiative
School Violence Prevention and Early Childhood Development Activities

This site also offers a gateway to other Department of Justice and federal agency funding opportunities (i.e., Education, Health and Human Services, Housing and Urban Development, Interior, Labor, Transportation) - http://ojjdp.ncjrs.org/grants/otherag.html

**National STW Learning and Information Center - http://www.stw.ed.gov/grants/grants.htm**

Use search engine to find information on School to Work Grants.

Also, see the Catalog of federal Domestic Assistance for information on the Department of Labor's Youth Services Delivery Systems program focused on youth who are or have been under criminal justice supervision.

## *III. Foundations*

As noted in Section I of this document, **The Foundation Center - http://fdncenter.org/** collects, organizes, analyzes, and disseminates information on foundations, corporate giving, and related subjects. It publishes the *Philanthropy News Digest*, a weekly listing of requests for proposals (RFPs) from U.S. grantmakers. (See -- http://fdncenter.org/pnd/current/index.html). Many foundations include a focus on health, mental health, and schools. For example, Annie E. Casey Fdn., Robert Wood Johnson Fdn., W. K. Kellogg Fdn., Charles Stewart Mott Fdn., Commonwealth Fund, Pew Charitable Trusts, DeWitt-Wallace/Readers Digest Fdn., W. T. Grant Fdn., Rockerfeller Fdn., Harris Fdn., Public Welfare Fdn., R. G. Hemingway Fdn., Carnegie Corp. You can, of course, go directly to the websites for any foundation and find the information about what they currently fund. However, direct contacts to discuss what one wants to propose often is a strategically good step.

## *IV. A Few Other Resources with Relevant Summaries, Reports, and Analyses*

**School Health Finance Project of the National Conference of State Legislatures (funded by DASH, CDC) - http://ncsl.org/programs/health/pp/schlfund.htm**

Summary of surveys of states and territories focused on gathering information on block grant and state support for school health programs. The data collected are designed to identify the sources for school health funding and the procedures required to access funds in each state. The databases provide information about how states and territories use federal and state funds for school health programs and can be used to develop and improve school health programs. The block grant survey collects information about how states use six specific federal block grants to fund school health programs (i.e., *the Community Mental Health Services Block Grant, Community Prevention Grants, Community Services Block Grant, Maternal and Child Health Services Block Grant, Preventive Health and Services Block Grant, Substance Abuse Prevention and Treatment Block Grant, Safe and Drug-Free Schools and Communities Block Grant*). The state revenue survey collects information about which states appropriate state general revenue for school health programs (structured around the eight components of the CDC Coordinated School Health Program model).

**The Future of Children -http://www.futureofchildren.org/sch/index.htm**

The Winter 1997 edition of the Future of Children journal (V. 7, No. 3) dealt with *Financing Schools. It is* available for downloading in PDF form with Adobe Acrobat. The articles titles are:

>Financing Schools: Analysis and Recommendations
>School Finance: Fifty Years of Expansion
>Sources of Funding for Schools
>How and Where the Education Dollar Is Spent
>Equity and Adequacy in School Funding
>School Finance Policy and Students' Opportunities to Learn: Kentucky's Experience
>Considering Nontraditional Alternatives: Charters, Private Contracts, and Vouchers

**Making the Grade -http://www.gwu.edu/~mtg/sbhcs/financing.htm**

Focuses on financing issues related to School-Based Health Centers. The following papers can be accessed through the above Website.

>Issues in Financing School-Based Health Centers: A Guide for State Officials
>Medicaid, Managed Care, and School-Based Health Centers:
>Proceedings of a Meeting with Policy Makers and Providers
>The New Child Health Insurance Expansion
>Nine State Strategies - Executive Summary
>School Health Centers and Managed Care: Seven School-Based Health Center Programs Forge New Relationships

## *V. Accessing Information Through Our Center*

Whenever we learn about funding opportunities, we cite them in our monthly electronic news and, as appropriate, in our quarterly newsletter. These documents, then, are added to our website for ongoing access. In addition, as we become aware of reports and other documents that discuss sources, explore issues, and provide analyses, we add these to our Center Clearinghouse and reference them in documents we produce to provide overviews on different topics such as financial strategies. You can easily find what we have by using the search features on our Website.

You should begin with a *Quick Find Search*. This type of search yields basic information on specific topics for which we receive frequent requests, such as "Financing and Funding." To do a Quick Find search, go to the site

http://smhp.psych.ucla.edu/

and click on *Search*, you will see the Quick Find section and a place to "Select a response to a frequent request." Since you are interested in funding opportunities, find the topic "Financing and Funding" and hit *"go."* It will provide you a list of resources you may find useful, and when you scroll down, you will find a list of agencies and Website links which you can then access.

## *VI. Accessing Information Through Our Sister Center*

Additional resources on funding strategies and related technical assistance are available from our sister center: *Center for School Mental Health Assistance* (CSMHA) at the University of Maryland at Baltimore. http://csmha.umaryland.edu

A Final Note: In the spirit of creative financing, it is important to think in term of collaborative partnerships. One type of partnership involves seeking funds with University colleagues. This opens up access to a variety of research funds and strengthens applications for programs that involve a major evaluative component.

# Healthy Youth Funding Project

The following aid was developed by the Centers for Disease Control and Prevention, Division of Adolescent and School Health. The searchable database can be found at: http://www2.cdc.gov/nccdphp/shpfp/index.asp

Please Note: Most (if not all) of the funding source descriptions include brief information about:

- Purpose/Use of Funds
- Sponsoring Organization(s)
- Target Population
- Eligibility/Selection Criteria
- Location (where funds can be used)
- Contact Information (and Internet Address if applicable)
- Application Process
- School Health Components addressed
- Grant Duration/Grant Cycle
- Number of awards to be funded
- Amount of award(s)
- Additional Information

**Funding**

- Overview
- Search Database

**Adolescent and School Health**

- Announcements
- National School Health Strategies
- Research & Evaluation
- Risk Behaviors and Health Topics
- Guidelines
- Resources and Tools
- Project Partners
- About the Program

# Healthy Youth Funding Database

**(HY-FUND)**

**Entire Database** **School Health Only**

**Search for:** suicide

**Location:** California

**Include only current opportunities?** Yes No

**School Health Component:** Any

Search Database | Clear Form

**Please note:** This database does not contain a complete inventory of funding sources. Information will be added on an ongoing basis. *

## Instructions

**Entire Database/School Health Only:** To search for school health funding opportunities, choose "School Health Only", otherwise all funding opportunities in the adolescent and school health program funding database will be returned.

**Search for:** Enter a word or words. The database will find any opportunities that contain all of the words entered. To search for an exact phrase, enclose it in quotes. For example, entering **"family planning"** will find those summaries that contain that phrase.

**Location:** To add location specific funding sources to the list of National opportunities, select a state or U.S. territory from the drop down list.

**Include only current opportunities:** Click on "Yes" if the search should ignore opportunities where the application deadline is past. Click on "No" if the search should include past opportunities. You may want to include past opportunities as they may be a potential funding source in the future.

**School Health Component:** Select a school health component to search from the list. To access a description of these components, please see the CDC's Definition of a Comprehensive School Health Program.

* If you have additional information that should be included in this database, please send e-mail to HealthyYouth@cdc.gov .

**Funding**

- Overview
- Search Database

**Adolescent and School Health**

- Announcements
- National School Health Strategies
- Research & Evaluation
- Risk Behaviors and Health Topics
- Guidelines
- Resources and Tools
- Project Partners
- About the Program

# Healthy Youth Funding Database

**(HY-FUND)**

Found 11 items.
Displaying 1 to 11.

1. Alaska-Specific Social and Economic Development Strategies (SEDS) Projects - National

The Administration for Children and Families' Administration for Native Americans (ANA) is providing approximately $2 million in funding for Alaska-Specific Social and Economic Development Strategies (SEDS) Projects (Competitive Area 2). Examples of ...

2. Cooperative Agreement for Suicide Prevention Research Center - National

The Centers for Disease Control and Prevention (CDC) announces the availability of approximately $400,000 in fiscal year 2001 funds for a cooperative agreement program for a Suicide Prevention Research Center (SPRC). The purpose of this cooperative a ...

3. Center for Mental Health Services' Circles of Care: Planning, Designing, and Assessing Mental Health Service System Models for American-Indian and Alaska-Native Children and Their Families - National

The Substance Abuse and Mental Health Services Administration's (SAMHSA) Center for Mental Health Services (CMHS) announces the availability of $2.4 million in funding for Circles of Care grants for federally recognized tribal governments and urban I ...

4. Injury Prevention and Control Research Grants: Grants for Violence-Related Injury Prevention Research - National

The Centers for Disease Control and Prevention (CDC) announces that grant applications are being accepted for Injury Prevention and Control Research Grants for fiscal year (FY) 2001. The purposes of the program announcement are to (1) solicit researc ...

5. Interventions for Suicidal Youth (PA 00-077) - National

The National Institute of Mental Health (NIMH) and the National Institute on Drug Abuse (NIDA) invite research grant applications to study interventions to reduce suicidal behaviors in youth. Although youth suicidal behavior has been recognized as a ...

6. Administration for Native Americans: Availability of Financial Assistance: Alaska-Specific Social and Economic Development Strategies (SEDS) Projects: Competitive Area Two: CFDA 93.612 - National

The mission of the Administration for Native Americans (ANA) is to promote the goal of social and economic self-sufficiency for American Indians, Alaska Natives, Native Hawaiians, and other Native American Pacific Islanders. This competitive area fun ...

7. Safe Schools/Healthy Students Initiative - National

The Departments of Justice, Education, and Health and Human Services are collaborating to provide students with enhanced comprehensive educational, mental health, law enforcement, and as appropriate, juvenile justice system services and activities de ...

8. Interventions for Suicidal Youth - National

The National Institute of Mental Health (NIMH) and the National Institute on Drug Abuse (NIDA) invite research grant applications to study interventions to reduce suicidal behaviors in youth. The institutes intend to commit approximately $3,000,000 i ...

9. Youth Violence Prevention Cooperative Agreements - National

The Substance Abuse and Mental Health Services Administration's (SAMHSA) Center for Mental Health Services (CMHS) announces the availability of $4.10 million dollars in funding for Cooperative Agreements for Comprehensive Community Actions to Promote ...

10. Violence Prevention/Resilience Development School and Community Action Grants (Short - National

SAMHSA announces the availability of $5 million in grants for the School Action Grantprogram. Grants will be awarded to approximately 33 sites. The goals of the School ActionGrant Program are (1) to obtain community level buy-in for the changes nec ...

11. School Health Programs to Prevent Serious Health Problems and Improve Educational Outcomes - National

The Centers for Disease Control and Prevention (CDC), announces the expected availability of fiscal year (FY) 1998 funds for State and local education agencies to establish and strengthen school programs to prevent infection with the human immunodefi ...

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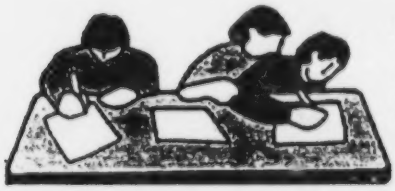
# *Ten Grant Writing Tips*

**Adapted from http://www.schoolgrants.org**

Never write a grant proposal solely for funding purposes.

You should always seek grant opportunities that match your program's goals and objectives rather than the other way around. If you change your program based on a funder's giving guidelines, you will soon end up with a project that is a mere shell of the original plan. The goal of grant writing is not more money for your agency; the goal is to fund programs that will meet the needs of your constituency.



Know your prospective grantor! Research, research, and research some more!

Obtain as much information as possible about a prospective grantor! Understand the mission of the grantor, look at past-funded programs, and determine the range of grant awards typically given by the agency. Be sure you make a note of any geographical preferences and/or limitations. Save yourself some time and look at "funding exclusions" first - make sure your institution and/or project fits within the guidelines of the funding agency.



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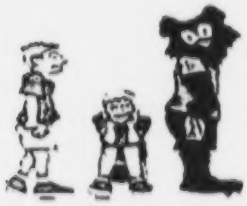
Read and understand the funder guidelines and requirements.

Most funding agencies publish grant guidelines or requirements. Be certain you understand them and follow them to the letter. Note the deadline and whether the proposal must be received or postmarked by the deadline. Don't have your proposal thrown away because you didn't follow the guidelines *to the letter*. Exceptions are rarely made; regardless of the circumstances. Some funders have special requirements; follow them!



A well documented needs statement is critical to your proposal.

Your "needs statement" drives your entire grant proposal. The proposed program should revolve around the problems faced by your clients. The purpose of the grant is to meet the specific needs you have identified. If you have not adequately described the reason you need the program, including the use of statistics and other research data when possible, the funder will see no reason to invest in your project.

Most proposals require a short project abstract.

Most proposals, particularly foundation and corporation proposals, should include a short project abstract. The abstract defines your entire project - needs, goals, objectives, and budget - within a paragraph or, at most, one page. As always, follow the guidelines of the grantor with regard to the program summary requirements. Remember that it is this summary that is usually read first. If you haven't adequately described your project, it may be the only part of the entire proposal that ever gets read.

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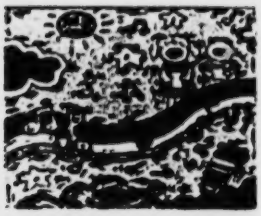

Use the project narrative to more fully describe your program goals, objectives, strategies, budget, and evaluation strategies.

Every proposal will require a section(s) that describe the broad goals and measurable objectives of your project. You should describe the activities that will be implemented to accomplish your goals and objectives. Your budget and budget narrative must closely match the described activities. Your evaluation should carefully measure whether the project objectives are being met on a timely basis.

Foundation and corporate funders generally expect this section to be no longer than five to ten pages. Federal grants may allow up to 50 pages for a thorough discussion of your project. Again, follow the guidelines of the prospective funder.

Top off your proposal with a concise cover letter.

Include a one-page cover letter if not specifically prohibited by the funding agency. The cover letter should briefly introduce your organization and describe your project, including the funding request. The cover letter should be signed by your school's or district's executive officer and should be written on school/district letterhead.

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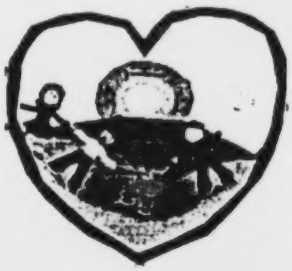
The appearance of your proposal matters!

Use a reasonable font type and size (no smaller than 10- point; preferably 12-point). Leave plenty of white space - use margins of at least 1"; double-space if space limitations allow it. If possible, include graphs, photographs, or sidebars occasionally. Bold headings and sub-headings help break up the proposal and also make it easy for the reviewer to find sections within your proposal. Grammar and spelling errors show a lack of concern on the part of the applicant. Do not submit a proposal if you are not proud of its appearance.

Always thank the funder for the opportunity to apply.

Even if your proposal is not funded, always send a thank you note to the grantor for the opportunity to submit your proposal. Ask if it is possible to receive reviewer comments so that you can see why your proposal was not funded. Use the reviewer comments to improve upon your proposal-writing techniques.

And remember, even the best- written proposals are not always funded. Do not get discouraged because your proposal was not selected for funding by that particular agency.



Turn your investors into partners in your program by keeping them informed of its progress.

If you are fortunate enough to have your proposal funded, send a thank you note for the grant. Next, keep the funding agency informed about your activities and progress. Invite them to come see your program in operation. Send photographs of the program in action. Send quarterly or semi-annual reports that tell how you've used the funds. In short, make the grantor your partner.



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# IV. Model Programs

**A. An Example of Funding and Program Resources: The California Experience**

**B. An example of Funding for a School-Based Mental Health Program: Baltimore City Public Schools**

# An Example of Funding and Program Resources: The California Experience

This aid is from: Funding and Program Resources: California's Healthy Start by Rachel Lodge (Healthy Start Field Office: U.C. Davis, 1998). Also, see the Center's Introductory Packet entitled: *Financial Strategies to Aid in Addressing Barriers to Learning*, pp. 71-82. Center for Mental Health in Schools (2000).

This document contains

- A list of programs being implemented throughout California
- The programs' funding source
- Where to get information about the program and it's funding
- A list of the activities and services that are being funded.

## An Example of Funding and Program Resources: The California Experience

| Program Title | Funding Source | Local Information Source | Activities and Services Supported |
|---|---|---|---|
| **CITY/COUNTY SYSTEM COORDINATION** | | | |
| Community Development Block Grant | *Federal*<br>U.S. Department of Housing and Urban Development | City | Coordination of support and services to families. Facilities and direct service to families to strengthen and improve community life. |
| Interagency Children's Services Act | *State*- SB 997 and 786<br>(no funding sources)<br>Permits regulations to be waived and reallocates existing resources | Check county agencies | Establishes Interagency Youth Service Councils. Encourages local development of comprehensive and collaborative delivery systems for all services provided to children and youth, enhancing local governance requirement of Healthy Start. |
| Youth Pilot Program | *State*- AB 1741<br>Health and Welfare Agency | County administrators<br>(Pilot counties include: Alameda, Fresno, Marin, Placer, San Diego, and Contra Costa) | Interagency team provides assistance to AB 1741 counties to establish a mechanism to transfer funds into a blended Child and Family Services Fund to be used for services for high risk, low income children and families. |
| Community Based Family Resource Program | *State*<br>Department of Social Services, Office of Child Abuse Prevention | Public agencies, schools and non-profit agencies | Expands innovative, comprehensive family resource centers. |
| Juvenile Crime Enforcement and Accountability Challenge Grant Program | *State*<br>SB 1760<br>Board of Corrections | Will establish multi-agency juvenile justice coordinating councils | Develop and implement a comprehensive, multi-agency strategy for preventing and effectively responding to juvenile crime. |
| Partnership for Responsible Parenting | *State*<br>Department of Health Services, Office of Criminal Justice Planning and other | Public Health Department and other county agencies | Initiative designed to address problems associated with teen and unwed pregnancy and fatherlessness by establishing community challenge grants, public awareness media campaign, statutory rape prosecution, and mentoring programs. |

| FAMILY SUPPORT/SOCIAL SERVICE | | | |
|---|---|---|---|
| Temporary Assistance For Needy Families (TANF) / CalWORKS | *Federal*<br>Title IV- A Social Security Act | Social Services, Economic Assistance | Direct financial income support for families with minor children; administration of program including eligibility determination. Services and eligibility changing due to welfare reform. |
| **Program Title** | **Funding Source** | **Local Information Source** | **Activities and Services Supported** |
| Social Services Block Grant | *Federal*<br>Title XX Social Security Act | Social Services | Activities that promote family self-sufficiency, prevent child abuse and neglect, and out-of-home placement. |
| Child Welfare Services | *Federal*<br>Title IV-B Subpart I Social Security Act | Social Services | Emergency caretaker/homemaker, financial assistance. Family preservation, mental health, alcohol and drug abuse counseling, post-adoption services. |
| Foster Care Maintenance and Adoption Assistance | *Federal*<br>Title IV-E Social Security Act | Social Services | Out of home placement and reunification, pre- and post-placement and placement prevention activities. Pays for costs for minors and cost for staff, including staff training. |
| **HEALTH SERVICES** | | | |
| Local Educational Agency (LEA) Medi-Cal Billing Option | *Federal*<br>Title XIX Medicaid Funding | Schools, districts, county offices of education, collaborative partners | Bill for medically necessary services for Medi-Cal eligible students; reinvest in broad range of support, prevention, intervention, and treatment activities for children and their families to sustain local Healthy Start initiatives. |
| Targeted Case Management–Local Educational Agency (TCM-LEA) | *Federal*<br>Title XIX Medicaid Funding | Schools, districts, county offices of education, collaborative partners | Bill for case management of services to Medi-Cal eligible special education students and their families. Reinvest as above. |
| Targeted Case Management–Local Government Agency (TCM-LGA) | *Federal*<br>Title XIX Medicaid Funding | Public Health, Adult Probation Departments, and Public Guardian | Case management of target populations of Medi-Cal eligibles served by health, probation, public guardian and aging programs. |
| Medi-Cal Administrative Activities (MAA) | *Federal*<br>Title XIX Medicaid Funding | Public Health Department | Activities associated with effective administration of the entire Medi-Cal program. |
| EPSDT Supplemental | *Federal*<br>Title XIX Medicaid Funding | Public Health Department, managed care agency | Kinds and frequency of treatment and type of provider not otherwise available to eligibles over 21 years (eff. April 27, 1995) |
| Federally Qualified Health Clinic (FQHC) | *Federal*<br>Title XIX Medicaid Funding | Public Health Department | Medi-Cal activities and services for Medi-Cal eligibles in medically underserved areas. Rate is higher, cost-based. |
| Children's Dental Disease Prevention Program | *State*–SB 111 | County health departments and county offices of education | Provides school-based dental health education and dental services that include fluoride, screenings, and treatment referral mechanisms. |

| | | | |
|---|---|---|---|
| **MENTAL HEALTH SERVICES** | | | |
| Substance Abuse Block Grant | *Federal*<br>Substance Abuse and Mental Health Services Administration Block Grants | County Health Department/ Alcohol and Other Drug Programs | Alcohol and drug abuse prevention, treatment, and after-care services. |
| Early Mental Health Initiative | *State*–AB 1650<br>Department of Mental Health | Schools, districts, local education agencies | Serves children (K-3) identified as having minor school adjustment difficulties to ensure a good start in school and increase the likelihood of their future school success. Provides for use of alternative personnel, cooperation with parents and teachers, and ongoing monitoring and evaluation. |
| **EMPLOYMENT AND ECONOMIC DEVELOPMENT** | | | |
| Vocational Education | *Federal, State, Local* | School districts, county offices of education, community colleges, community-based organizations | Provide assessment, counseling, vocational education, on-the-job training, job placement, and basic/remedial education to youth and adults (check for eligibility). |
| One-Stop Career Center System Initiative | *Federal*<br>Department of Labor | Employment Development Department, Service Delivery Area/Private Industry Council | Plans to design and implement an integrated, comprehensive, customer-focused, and performance-based service delivery system for employment, training, and related education programs and services. |
| Job Training Partnership Act | *Federal*<br>Department of Labor | Private Industry Council, school district, county office of education, community colleges | Provides employability services including job placement, basic/remedial education, on-the-job training and vocational education to economically disadvantaged adults, youth, and older workers. |
| Job Service (also Job Agent and Intensive Services programs) | *Federal*<br>Department of Labor<br>and<br>*State*<br>Employment Development Department | Employment Development Department | Helps employers find job-ready applicants for their job openings and reduces unemployment for adults and youth by providing job placement, counseling, testing, job fairs, job search training workshops, employer services, and labor market information. |

| EDUCATION SERVICES | | | | | |
|---|---|---|---|---|---|
| **INITIATIVE/ PROGRAM** | **FUNDING** | **PURPOSE** | **WHO'S ELIGIBLE** | **WHEN APPLICATION IS AVAILABLE/DUE** | **CONTACT AT CALIF. DEPT. OF EDUCATION** |
| Grade Level Reform Initiatives | California Department of Education General Education funds | Establishes the vision and strategies to enable academic success for all students, including collaborative partnerships with parents, other agencies, and community members. Grade level reform documents (4) are available from CDE. | School districts and county offices of education | Ongoing | Child Development Division (916) 322-6233<br>Elementary Education Division (916) 657-2435<br>Middle Grades Division (916) 654- 6966<br>Secondary Education Division (916) 657-2532 |
| School Improvement Program (SIP) | *State*<br>School Improvement Funding Education Code (62002) | For activities that improve all students' ability to learn and schools' instructional program for all students. | Schools, districts | Ongoing | Elementary Grades (916) 657-5440<br>Middle Grades (916) 657-5081<br>Secondary Level<br>Susan Tidyman<br>Alameda COE<br>(510) 887- 0152 |
| School-Based Coordinated Programs | *State*<br>Education Code 52800-52870<br>Flexible use of existing categorical funds | To encourage effective combination of categorical funds. Participants receive 8 staff development d44ays. | School districts and county offices of education receiving state categorical funds | November and April consolidated application | Elementary Academic Support (916) 657-2435 |
| Title I (IASA)<br>Part A-LEA Program<br>Part B-Even Start (see following item)<br>Part C-Migrant Education<br>Part D-Neglected, Delinquent or at Risk | *Federal*<br>Improving America's Schools Act (IASA) | To improve student achievement via interlocking elements of standards and assessment, teaching and learning, professional development, creating linkages among parents, families, and school-communities, and local governance and funding structures. | Schools, districts, and county offices of education | Ongoing | District and School Support Division (916) 657-2577 <www.cde.ca.gov/iasa> |

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| | | | | | |
|---|---|---|---|---|---|
| Even Start Family Literacy | *Federal*<br>Improving America's Schools Act (IASA) | Innovative approach to service families (parents with children 0-7 living in a low income area) by integrating early childhood education; adult basic education, parenting education, and coordination of service delivery agencies by developing partnerships. | Schools, districts, county offices of education, community-based organizations, universities/ colleges | Ongoing | Elementary Academic Support Unit<br>(916) 657-2435 |
| Individuals with Disabilities Act (IDEA) | Federal<br>PL 94-142 part H | Assessment and preventive services for very young children at risk of developmental disabilities. Also transition into appropriate school setting. Requires individualized plan. | Schools, districts, county offices of education | Ongoing | Special Education Division<br>(916) 445-4613 |
| School-Based Service Learning (National Community Service Trust Act) | California Department of Education/ Corporation for National Service Approximately $2 million statewide, individual grants from $20,000-$100,000 | For district-wide implementation of the teaching method known as service learning. | School districts, county offices of education | Available January 2001 | CalServe Initiative<br>(916) 654-3741 |
| School-to-Career Initiative | *Federal*<br>Direct School-to-Work Opportunities Act grants | Create systems that offer all youth access to performance based education & training that results in portable credentials; preparation for first jobs in high-skill, high-wage careers; and increased opportunities for higher education. | Local Employment Development Departments; school districts, county offices of education, schools, community colleges | | School to Career Office<br>(916) 657-2541 |

| | | | | | |
|---|---|---|---|---|---|
| Job Training Partnership Act 8% Statewide Education Coordination and Grants | JTPA 8%-30% Projects $75,000 JTPA 8%-50% GAIN Education Services | Provides youth & adults with barriers to employment with a range of occupational skills through school-to-career and CalWORKS projects, including employment preparation, adult basic education, ESL and GED. | Private Industry Council in collaboration with local education agencies (school districts, county offices of education, adult schools, regional occupational programs/centers and community colleges) | | Employment Preparation and Interagency Relations Office (916) 324-9605 |
| Adult Education | *Federal and State* | Provides adults and out-of-school youth with basic/remedial education, English-as-a-second-language, and vocational education services | School districts, community colleges | Ongoing | Adult Education Field Assistance Unit (916) 322-5012 |
| **School Safety and Violence Prevention** | | | | | |
| School Community Violence Prevention Grant Program | $50,000 | To address local communities' unique needs related to non-violence strategies | School districts and county offices of education | | School Safety and Violence Prevention Unit (916) 323-2183 |
| School Violence Reduction Grant Program | Approximately $7.2 million statewide; county entitlement per enrollment | To implement a variety of safe schools strategies based on local needs | County offices of education (will offer grants to schools and school districts) | November | School Safety and Violence Prevention Unit (916) 323-2183 |
| Safe School Plan Implementation Grants | $5,000 each (plus district matching fund) 100 issued each year | To assist schools in implementing a portion of their Safe School plan | Schools | Available in August, due in October | School Safety and Violence Prevention Unit (916) 323-2183 |
| GRIP (Gang Risk Intervention Program) | $3 million statewide each year | To intervene and prevent gang violence | County offices of education (grant award preference to existing programs) | March-April | School Safety and Violence Prevention Unit (916) 323-2183 |
| Title IV Improving America's Schools Act (IASA) Safe & Drug Free Schools and Communities | Per pupil allocation (Federal Fund Entitlement) | To initiate and maintain alcohol/drug/tobacco and violence prevention programs in schools | County offices of education and school districts receive entitlements | June and September Consolidated application | School Safety and Violence Prevention Unit (916) 323-2183 / Healthy Kids Program Office, (916) 657-3040 |

| INITIATIVE/ PROGRAM | FUNDING | PURPOSE | WHO'S ELIGIBLE | WHEN APPLICATION IS AVAILABLE/DUE | CONTACT AT CALIF. DEPT. OF EDUCATION |
|---|---|---|---|---|---|
| SB 65 School-Based Pupil Motivation and Maintenance (M&M) Grant | $43,104 per grant (Outreach Consultant) | To establish services and strategies designed to retain students in school | Schools in districts operating SB 65 M&M programs | Check for existing program–new school funding unlikely | Education Options Unit (916) 322-5012 |
| Targeted Truancy and Public Safety Grant Program | $10 million for 8 or more sites (3 year demonstration grant) | To implement integrated interventions to prevent repeated truant and related behaviors | School district and county offices of education | December | School Safety and Violence Prevention Unit (916) 323-2183 |
| **Tobacco Use Prevention** | | | | | |
| Community Tobacco Use Prevention Program | Department of Health Services, Tobacco Control Section | Conduct interventions that support three priority areas: 1) Environmental tobacco smoke, 2) youth access to tobacco products and 3) counter pro-tobacco tactics | Community based organizations, schools | | |
| Tobacco Use Prevention Education (TUPE) Grades 4 through 8 | $14,400,000 (Entitlements, not a grant process) | To provide tobacco education and prevention programs for grades 4-8 based on A.D.A. | County offices of education and school districts | Available Sept. 5 | Healthy Kids Program Office (916) 657-2810 |
| TUPE Innovative Projects | $2,666,667 | To promote and expand innovative and promising tobacco projects | Districts and county offices of education with innovative and promising projects | Pending | Healthy Kids Program Office (916) 657-2810 |
| **School Integrated Services** | | | | | |
| Healthy Start Support Services for Children Act (SB 620) | $39 million statewide; $50,000 planning grant $400,000 operational grant | Planning (planning grants) or implementing/expanding (operational grants) school integrated supports and services to assist children, youth, and families with achieving success. | School districts and county offices of education. Targeted to schools with high population of low income and LEP students | Available in November. Due in March | Healthy Start Office (916) 657-3558 |

| INITIATIVE/ PROGRAM | FUNDING | PURPOSE | WHO'S ELIGIBLE | WHEN APPLICATION IS AVAILABLE/DUE | CONTACT AT CALIF. DEPT. OF EDUCATION |
|---|---|---|---|---|---|
| Coordinated Services (IASA) | *Federal* Title XI Improving America's Schools Act (up to 5% of funds allocated for other IASA Titles) | Develop, implement or expand coordinated social, health, and education support and service programs for children and their families | Schools, districts (waiver must be submitted to CDE for approval) | Ongoing | Healthy Start Office (916) 657-3558 |
| **HIV/AIDS Grant Programs – Comprehensive School Health Program Office** | | | | | |
| HIV/AIDS Prevention Education Grant Program | $30,000–Basic grant $80,000–Demonstration project (Both for 18 month period 1/1/98-6/30/99) | Use local HIV/AIDS prevention resources to develop age-appropriate and culturally sensitive HIV/AIDS prevention education activities for youth in school | School districts and county offices of education | Available October 20. Due end of November | Healthy Kids Program Office (916) 657-2810 |
| **Homeless Children Services** | | | | | |
| Education for Homeless Children and Youth Program | $2.3 million statewide (approximate) | To ensure homeless children are provided the same free, appropriate public education as provided to other children and youth | School districts and county offices of education | 20 grantees funded 1997-2000 | Elementary Academic Support (916) 657-2435 |
| **Teenage Pregnancy Prevention** | | | | | |
| Teenage Pregnancy Prevention Grant Program | $10 million statewide each year | 5-year competitive grant program to delay onset of sexual activity and reduce the incidence of teenage pregnancy | School districts and county offices of education | 37 grantees funded in fiscal year 1996-97 for the 5 year period | Family and Community Partnerships Unit (916) 653-3768 |
| **Nutrition Education and Services** | | | | | |
| SHAPE California Comprehensive Nutrition Grants and/or Garden Enhanced Nutrition Education Grants | Approximately $190,000 statewide. Availability for 1998 not yet confirmed. | SHAPE: Support comprehensive nutrition services–healthy school meals, nutrition education and supportive partnerships.<br><br>Garden: motivate children to make healthy food choices, and integrate aspects of growing, marketing, preparing, eating and composting food | School districts and private schools that participate in a federal lunch and/or breakfast program | Spring/Spring | Nutrition Education and Training Programs (916) 322-4392 |

| | | | | | |
|---|---|---|---|---|---|
| Pregnant and Lactating Student Meal Supplement Program (PALS) | $.6545 per student per day | Reimbursement for meal supplements to pregnant or lactating students | School food authorities that participate in a federal lunch and/or breakfast program | Continuous filing | School Nutrition Program Unit (916) 323-1580 |
| California State School Breakfast Program Start-up Grants | $1 million statewide Up to $10,000 per school | Defray expenses of initiating a School Breakfast Program | Schools that -Have no breakfast program -30% needy students -Will maintain program for at least 3 years | Continuous filing and awards | School Nutrition Program Unit (916) 323-1580 |
| National School Lunch Program | Varies, may be up to $1.91 per meal | Provides nutritious lunches to children through reimbursement for paid, reduced fee and free meals. Federally funded through USDA | Public and private non-profit schools | Continuous filing | School Nutrition Program Unit (916) 323-1580 |
| **INITIATIVE/ PROGRAM** | **FUNDING** | **PURPOSE** | **WHO'S ELIGIBLE** | **WHEN APPLICATION IS AVAILABLE/DUE** | **CONTACT AT CALIF. DEPT. OF EDUCATION** |
| School Breakfast Program | Varies, may be up to $1.245 per meal | Provides nutritious breakfasts to children through USDA reimbursements for paid, reduced fee and free meals | Public and private non-profit schools | Continuous filing | School Nutrition Program Unit (916) 323-1580 |
| Professional Development for Child Nutrition Program Staff Mini-Grants | Approximately $75,000 statewide $5,000 district | Provides incentive for Child Nutrition personnel to enroll in approved professional development programs | School districts that participate in federal lunch and/or breakfast programs | Winter 1998 | Nutrition Education and Training Programs (916) 322-4392 |

**An example of Funding for a School-Based Mental Health Program:**
**Baltimore City Public Schools**

Adapted from Glass-Siegel, M. & Leslie, L. (1999). *Partnership between education and mental health: Balitmore's Experience*. Presented 9/17/1999.

School-based mental health services, provided through a partnership between the BCPSS and eight community mental health agencies, are available to students in regular education. These services enable students to participate in academic instruction, by addressing underlying emotional and behavioral concerns. The school-based mental health programs complement and supplement the services provided by the Pupil Services staff.

During the 1998-99 school year, a total of 4,780 students in 64 schools were referred for mental health services. The volume of referrals reflects a perceived need among school administrators, teachers, parents, and the students themselves for these services. Over 21,000 individual sessions and more than 20,000 group contacts were provided. Reported teacher contacts totaled more than 6700 and over 4500 parent contacts were made during the course of the school year. The mental health clinicians were active participants in School Improvement Teams and School Support Teams. Year-end reports from the sponsoring mental health programs include the following outcomes for students who received services: improved attendance decreased suspensions improved academic performance improved conduct grades

SELECTED EXAMPLES:

- Overall figures for the 19 schools served by the Johns Hopkins, East Baltimore Mental Health Partnership (EBMHP) indicate that 80% of the students served had improved conduct grades following mental health intervention.
- Of the 51 referrals at Forest Park High School, 24% had been referred as a result of suspensions; however, fewer than 3% received a subsequent suspension following services.
- Of the students receiving mental health services at Canton Middle School: 92% had improved attendance 94% had decreased suspensions 90% had improved grades

COOPERATIVE FUNDING:

The Baltimore City Public School System (BCPSS) provides $1,600,000 to community-based mental health programs that provide mental health services to students in regular education in 54 BCPSS schools. Medicaid monies are used to support this program.

State and federal mental health funds allocated through Baltimore Mental Health System, Inc. provide $1,105,200 to supplement funding provided by the BCPSS in many of the 54 schools and to fund mental health services in 10 additional schools.

| Funding source | % of **total budget to fund mental health services in** 64 BCPS schools | **Amount of** funding |
|---|---|---|
| BCPSS | 57% | $1,600,000 |
| In kind services from five of the mental health agencies receiving BCPSS contracts | 3% | $86,600 |
| State and federal mental health funds allocated through Baltimore Mental Health Systems, Inc. | 40% | $1,105,200 |
| **TOTAL** | **100%** | **$2,791,800** |

# V. Additional Resources

**A. No Child Left Behind Act of 2001: Funding Implications for Community Schools**

**B. Making Education Dollars Work: Understanding Resource Allocation**

**C. QuickFind on Financing & Funding**

Coalition for Community Schools

# No Child Left Behind Act of 2001: Funding Implications for Community Schools

From the Coalition for Community Schools Newsletter
March 11, 2002 Vol. II, No. 4

http://www.communityschools.org/

(Melissa Ganley researched and prepared this report)

In December of 2001, Congress passed amendments to the Elementary and Secondary Education Act, commonly described as the *No Child Left Behind Act*. While the legislation contains much more emphasis on academic achievement and accountability, there are more federal dollars potentially available to support the Coalition's vision of a community school.

Three titles of the legislation have important implications for advocates of community schools. These are summarized below along with budget information for this fiscal year, 2002.

Click on each Title in the table below to read its important implications for community schools. **"Keys to accessing resources for community schools"** are provided at the end of each section.

| Key ESEA Titles for Community Schools Advocates and Budget Allocations | | |
|---|---|---|
| YEAR | 2001 | 2002 |
| Title I - Part A: Improving the Academic Achievement of the Disadvantaged | $8.762 billion | $10.35 billion |
| Title IV - Part A: Safe and Drug Free Schools and Communities | $644,250,000 | $654,250,000 |
| Title IV - Part B: 21st Century Community Learning Centers | $845,614,000 | $1.0 Billion |

Also listed are Web Links for the No Child Left Behind Act of 2001.

*****A print-friendly version of this newsletter is available at www.communityschools.org/esea.pdf for your convenience.*****

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## Title I: Improving the Academic Achievement of the Disadvantaged

Title I, Part A of ESEA offers many opportunities to develop and expand Community School initiatives, particularly for those already engaged in partnerships. The Finance Project has clearly outlined many of these prospects in their newly issued report, Using Title I to Support Out-of-School Time and Community School Initiatives. Briefly summarized, "the significant increase in funding for local grants (Part A) under Title I by almost $1.6 billion allows Local Education Agencies to consider financing out-of-school time and community school strategies without limiting other programs now financed by Title I."

**Title I and Community Schools**

The $1.6 billion dollars is an increase of 20% in Title I funding. In order to take advantage of this increase in funds, community school advocates must clearly link community schools to creating the conditions for academic achievement. Fortunately, as the Finance Project states, "the new legislation encourages and/or requires schools to offer a broader range of services that support academic performance to students and their families, such as extended learning opportunities and parental involvement programs, as well as to coordinate and integrate the range of supports and services offered to school age children and youth. Out-of-school time and community school initiatives are important partners to assist schools in accomplishing the goals of the Title I program."

Given the potential in Title I, we are providing more detailed information about the program below. For even more information, see the Finance Project brief. http://www.financeproject.org/Brief10.pdf

**The Plan - What Local Education Agencies must have to receive Title I funds (Sec. 1112)**

Before receiving any funds, Local Education Agencies (LEAs) must create a plan explaining how the new money will support students in eligible school areas. (Commonly, the LEA is a local school district.) Every plan must include the following components:



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- Academic assessment
- Assistance to students so that they may meet academic goals
- Coordination and integration of services from other agencies, such as Head Start and Early Start
- How teachers, in consultation with parents and pupil services personnel, will identify the children most in need of services
- Plans for implementing effective parental involvement

The plan *may* also include:

- Preschool programs
- Before and after school programs
- School-year extension programs

In addition to the necessary components of the plan, the LEA must provide assurances to the State and to the Community. These assurances include:

- Informing eligible schools and parents of the programs and available funds;
- Providing technical assistance and support; and
- Collaborating with other agencies that provide services to children and families which may affect student performance.

A complete listing of Assurances may be found in Title I, Part A, Sec. 1112, c.

**Schoolwide Programs (Part A, Sec. 1114)**

Community school advocates will find significant opportunities within Section 1114 - Schoolwide Programs. This program allows an LEA to use funds to upgrade the entire educational program of an eligible school. To be eligible for a schoolwide program, not less than 40% of the children in a school area must be from low-income families, or not less than 40% of children enrolled in the school must be from such families. If a school qualifies, funds can be used to assist the entire student population.

A school-wide program **must** include:

1. A comprehensive needs assessment of the entire school
2. Schoolwide reform strategies to improve academic performance (this may include counseling, pupil services, mentoring services, and the integration of vocational and technical education programs)
3. Instruction by highly qualified teachers
4. Professional development for those responsible for enabling children in the school to meet the academic standards
5. Strategies to attract high quality teachers
6. Strategies to increase parental involvement (such as family literacy services)
7. Plans for assisting preschool children in the transition from early childhood programs to local elementary school programs (such as Head Start, Even Start, Early Reading First)
8. Measures to include teachers in the decisions regarding the use of academic assessment
9. Additional assistance to struggling students
10. Coordination and integration of Federal, State, and local services and programs (such as violence prevention, nutrition, housing, Head Start, adult education, vocational and technical education, and job training)

**Targeted Assistance Schools - Part A, Sec. 1115**

In a school where less than 40% of the population meets the eligibility guidelines, eligible students may receive funds under Section 1115. Funds available under this section are available to students who are eligible under other sections, are of school age, and are not at grade level. Targeted Assistance grants only serve those students who meet eligibility criteria, and cannot be used for schoolwide programs. The components of the Targeted Assistance School programs are essentially the same as under Sec. 1114.

Furthermore, under the Special Rules of Sec. 1115, if health, nutrition and other social services are not otherwise available to eligible children, and if funds are not reasonably available from other public or private sources, then a portion of the funds may be used to provide services, including:



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- The provision of basic medical equipment
- **Compensation of a coordinator**
- Professional development

The "Compensation of a Coordinator" provision is very significant for community schools. Federal dollars may be used to subsidize a position responsible for developing and coordinating community-school activities. Given the focus on coordination and integration under the school-wide program, a community school coordinator position could also be supported with these funds.

Parental involvement is vital in Title I. According to Sec. 1118, each LEA must reserve not less than 1 percent of their allocation to support parental involvement. The parental involvement plan should be written under the LEA's broader Title I plan (Sec. 1112). Activities that each school and LEA might undertake include:

1. Assist parents in understanding their child's academic progress and goals
2. Provide clear materials and training to parents to assist their children in meeting academic goals, including literacy training
3. Educate staff in the value and contributions of parents; and parents can help as resources in educating staff.
4. Coordinate and integrate parent involvement programs and activities with Head Start, Even Start, Reading First, Early Reading First, the Home Instruction Programs for Preschool Youngsters, and the Parents as Teachers Program
5. Pay reasonable expenses associated with parental involvement activities, including transportation and child care costs to enable parents to participate in school-related meetings
6. Establish a district wide parent advisory council
7. Develop appropriate roles for community-based organizations and businesses in parent involvement activities

**Keys to Accessing Title I Funds**

**Partnership Building:** Community agencies and organizations that have a track record of working in partnership with schools are likely to have the greatest success in accessing Title I monies. In these cases there are often already forums where leaders from education, youth development, health and human services, family support, community development and other arenas come together to discuss their common agendas. The increase in Title I monies can be a topic of discussion at these meetings. Keep in mind that there will be many competing demands for this money given budgetary constraints within the education community. Emphasize the opportunity to sustain what is working.

**Relationships with Principals:** Where there are school-wide Title I programs, principals (and in some instances their school improvement teams as well) have a significant role in deciding how these funds should be used. Build on your existing relationships to make your case.

**Focus on Results:** Organize whatever data you have on how community school strategies are helping improve results that are important to the mission of the school, e.g., student achievement, attendance, incidents of violence, suspension, parent involvement, student health and well being, etc.

**Spotlight the Role of the Community School Coordinator:** The new legislation emphasizes coordination of public and private programs at the school site. This is the work of a Community School Coordinator. This person also reduces the burden of management on the principal. Title I could be a long term funding source for these positions. The Chicago Public Schools recently created a position in its personnel structure for a Community Resource Coordinator so that its principals know that using Title I funds for this purpose is acceptable.
(See www.communityschools.org/crc.html for copy of the job description).

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## Title IV - Part A: Safe and Drug Free Schools and Communities

Title IV is another area where additional funding may be available for community schools. Part A focuses on Safe and Drug Free Schools, while Part B focuses on 21st Century Community Learning Centers. Both parts can be useful to community school advocates.

**Safe and Drug Free Schools**

Safe and Drug Free Schools legislation provides grants to States for community drug and violence prevention, including early intervention. State grant funding has increased from $205,000,000 in 2001 to 264,733,000 in 2002. This reflects the legislation's emphasis on the role of states. Funds are allocated based upon the population of school age children in that State in relation to the population of school age children in all States.

**Application Procedures**

In order to receive funding, States must submit a state plan (Sec. 4113) that includes 19 parts. Listed here are four plan components that may interest community school advocates:

1. Contains a comprehensive plan for the use of funds
2. Describes how the activities funded will foster a safe and drug free learning environment that supports academic achievement
3. Provides an assurance that the application was developed in consultation and coordination with appropriate State officials and others, including the heads of the State health and mental health agencies, the head of the State child welfare agency and representatives of parents, students and community based organizations.
4. Describes the special outreach activities that will be carried out by the State Educational agency and the chief executive officer of the State (Governor) to maximize the participation of community-based organizations of demonstrated effectiveness that provide services such as mentoring programs in low-income communities.

**State Grants to Community Based Organizations**

Once a State is in receipt of funds, the governor of a state may reserve up to 20% of the State funds for community-based organizations (CBOs) at the local level (Sec. 4112). Sub-grants will be awarded based on the quality of the program or activity, and how the program or activity meets the criteria of Sec. 4115 (Authorized Activities). "Priority shall be given to programs and activities that prevent illegal drug use and violence for children and youth who are not normally served by the SEA or LEA, and populations that need special services or additional services, such as youth in juvenile detention facilities, runaway or homeless children and youth, pregnant and parenting teenagers, and school dropouts."

**State Allotments to LEAs**

The State is then required to distribute not less than 93 percent of the remaining funds to its local education agencies. To be eligible for a sub-grant, LEAs must submit an application developed with State and local government representatives, representatives of the schools, school staff, parents, students, community based organizations and others with relevant expertise in drug and violence prevention (such as mental health and medical professionals and law enforcement officials).

Among a list of nine necessary application components, the following two stand out for community schools:

1. The LEA's performance measures for drug and violence prevention programs, including specific reductions in the prevalence of identified risk factors.
2. Prevention activities that are designed to create and maintain safe and drug free environments.



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Sec. 4115 lists the principles for effectiveness, the LEA requirements, and the approved activities. For a program or activity to meet the principles of effectiveness, it must be based on an assessment of objective data, be measurable, based on research evidence and analysis, and include ongoing consultation with program administration.

Programs must include activities to promote parent involvement and coordination with community groups and coalitions. The list of authorized activities includes:

- Activities that involve families and community sectors in setting clear expectations against and consequences for violence and illegal use of drugs
- Expanded and improved school-based mental health services
- Conflict resolution and peer mediation
- Programs that encourage students to seek advice from and to confide in a trusted adult regarding concerns about violence and drug use
- Age appropriate violence prevention and education programs that address victimization associated with prejudice and intolerance, and that include activities designed to help students develop a sense of individual responsibility and respect for the rights of others, and to resolve conflicts without violence
- Developing and implementing character education programs
- Community service
- Programs that respond to the needs of students who are faced with domestic violence or child abuse

**Safe and Drug Free - National Programs**

Subpart 2 of Part A, Title IV refers to National Programs of the Safe and Drug Free schools and communities. Overall, the budget has increased from 205,000 in 2001 to 264,733 in 2002. Listed below is a breakdown of available funds, including changes from the 2001 budget:

| *in thousands of dollars | 2001 | 2002 | Approximate Increase / Decrease |
|---|---|---|---|
| Fed. activities Sec. 4121 | 145,000 | 134,733 | 10,000 Decrease |
| Project SERV | 10,000 | 0 | 10,000 Decrease |
| National Coordinator | 50,000 | 37,500 | 12,500 Decrease |
| Community service for expelled or suspended students | 0 | 50,000 | 50,000 Increase |
| Alcohol abuse reduction | 0 | 25,000 | 25,000 Increase |
| Mentoring program | 205,000 | 264,733 | 60,000 increase |

For more information on Safe and Drug Free Schools National Programs, go to http://www.ed.gov/offices/OESE/SDFS/aboutsdf.html

**Keys to Accessing Safe and Drug Free School Funds**

**Funding Status:** There has been no increase in funds for this program. Thus, unlike the situation with Title I, there is no new money to talk about. This continues to make accessing these resources challenging.

**Coordination:** Community school advocates should continuously seek ways to coordinate their work with safe and drug free activities in particular schools.

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## Title IV - Part B: 21st Century Community Learning Centers

Note: The United States Department of Education has issued a Non-Regulatory Guidance Draft for 21st

Century Community Learning Centers. This section draws on that guidance. If you have additional questions, please go to www.communityschools.org/nrgdraft.pdf for further information.

Part B of Title IV is commonly known as the 21st Century Community Learning Centers Program (21st CCLC). The purpose of this program is to provide students with academic enrichment activities during non-school hours that reinforce and complement the regular academic programs, and by offering students' families opportunities for literacy education and other related educational development. This language is narrower than the previous 21st Century provisions. It is more focused more explicitly on academic achievement. It also targets families of students rather than the entire community, though from a community school perspective this may be a distinction that makes relatively little difference.

**21st Century Community Learning Center - Formula Grants**

One key change is a shift of the 21st Century program from a federal discretionary grant program to a state administered program. States now must apply to the federal government for funds, and then create a grants competition within the state. The State must provide timely public notice of their intent to file an application, and make the application available for public review after submission. Each state may use up to 2% of the funds to administer the grant, and up to 3% for evaluation, technical assistance and monitoring.

States must ensure that 21st Century Community Learning Center programs are coordinated with other Federal, State and local programs. This is an important opportunity to encourage states to look at all federal and state programs focused on extended learning and after school programs, and find ways to enable communities and Local Education Agencies to plan and operate them more effectively and efficiently.

Before the funds are allocated to eligible local entities, the State must list the steps it will take to ensure that the funded programs implement effective strategies. Support for effective strategies may include technical assistance, training, evaluation, and the dissemination of promising practices.

**What entities are eligible to apply for 21st CCLC funds?**

The law has changed. In addition to LEAs, community-based organizations (including faith-based organizations), other public and private entities, or a consortium of two or more such agencies, organizations, or entities are now eligible to receive funds from an SEA. The statute encourages eligible organizations to collaborate in applying for funds.

**How has the program changed?**

The *No Child Left Behind Act of 2001* made several significant changes to the program. These changes ensure that the program focuses on helping children in high-needs schools succeed academically through the use of scientifically-based practice and extended learning time. The new statute also provides additional State and local flexibility in how funds can be used to support higher academic achievement, and dramatically expands eligibility for 21st CCLC funding to public and private educational and youth-serving organizations. The changes noted below are drawn directly from the U.S. Department of Education's non-regulatory guidance.

The specific changes to the program's authorizing statute include:

- **Implementing activities based on rigorous scientific research.** For the first time, the new authorizing statute provides principles of effectiveness to guide local grantees to identify and implement programs and activities that can directly enhance student learning. These activities must address the needs of the schools and communities, be continuously evaluated using performance measures, and - if appropriate - be based on scientific research.

- **Focusing services on academic enrichment opportunities.** Under the new legislation, grantees must provide academic enrichment activities to students in low-performing schools to help the students meet State and local standards in the core content areas, such as reading, math, and science. In addition, applicants may provide services to the families of children who are served in the program. Under the previous statute, grantees provide a broad array of services to children and community members. The new legislation allows community learning centers to serve adult family members of students, but not community members at large.

- **Transferring program administration from the Federal to the State level.** The new legislation turns over responsibility for managing the 21st CCLC program to the State educational agency (SEA) in each State. The U.S. Department of Education (the Department) will allocate funds to the SEAs by formula. The SEA will manage grant competitions and award grants to eligible organizations for local programs. States now will



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manage grant competitions and award grants to eligible organizations for local programs. States now will be accountable to the Department for ensuring that all statutory requirements are met. Under the previous legislation, the Department administered the 21stCentury Community Learning Centers program, managed a nationwide competition, and directly awarded over 1,600 grants to public schools and school districts that worked in collaboration with other public and nonprofit organizations, agencies, and educational entities.

- **Expanding eligibility to additional organizations.** The new legislation allows, in addition to local educational agencies (LEAs), community-based organizations (CBOs), including faith-based organizations and other public or private organizations, to directly receive funds from the State under this program. Under the previous authority, only public schools or local educational agencies could directly receive grants, although schools and districts applying for the grants were encouraged to collaborate with other public and nonprofit agencies.

- **Targeting services to poor and low-performing schools.** The new legislation requires States to make awards only to applicants that will primarily serve students that attend schools with a high concentration of poor students, giving priority to applicants serving children in low-performing schools. Funds granted under the previous authority were targeted more broadly to inner-city and rural public elementary, middle, secondary schools or a consortia of public schools.

- **Requiring States to set funding priorities.** As noted above, States must give priority to applications for projects that will serve children in schools designated as in need of improvement under Title I and that are submitted jointly by school districts receiving Title I funds and community-based organizations. This priority is new. The previous legislation did not mandate priorities, but strongly encouraged schools to collaborate with community-based organizations.

- **Extending the duration of grant awards.** States now have the discretion to award grants to local organizations for a period of three to five years. The previous law limited the duration of the grants to three years.

- **Increasing accountability at the State and local levels.** The new legislation requires States to develop performance indicators and performance measures that it can use to evaluate programs and activities. States must require local grantees to implement programs that meet specific principles of effectiveness. In addition, grantees must periodically evaluate their programs to assess progress toward achieving the goal of providing high-quality opportunities for academic enrichment.

- **Expanding the range of locations in which local programs may take place.** The new legislation provides support for services for children and their families in elementary or secondary schools or in any other location that is at least as available and accessible as the school. The previous legislation allowed for community learning centers to be located only in public elementary or secondary schools.

**Requiring funds to supplement and not supplant.** Grantees must use program funds to supplement and not supplant other Federal, State, and local funds. This "supplement not supplant" provision was not included in the previous statute.

- **Allowing States to require a local match.** States may now require local grantees to match funds. Under the previous law no match was required.

- **Requiring consultation and coordination.** States must, in their State application, provide an assurance that the State application was developed in consultation and coordination with appropriate State officials, including the chief State school officer, other State agencies administering before- and after-school (or summer school) programs, the heads of the State health and mental health agencies or their designees, and representatives of teachers, parents, students, the business community, and community-based organizations, including faith-based organizations.

- **Providing States with funds to carry out administrative responsibilities.** Up to five percent of a State's 21st CCLC allocation may be reserved by the State for the administrative responsibilities associated with implementing a quality program. These funds may be used to plan the competition, manage a peer-review process, award the grants and monitor progress. State-level funds also may be used to strengthen the programs-to provide training and technical assistance to the local grantees and to conduct evaluations.

**21st CCLC - How Communities Can Access the Funds**

The State Education Agency will conduct a competitive grants program and provide funds to eligible entities serving students who primarily attend schools eligible for Title I programs, as well as a high percentage of low-income students. Awards must be sufficient in scope and size to address the needs of the program, but no less than $50,000 minimum per grant (not per school).

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*According to Sec. 4204, each application must include:*

- A description of the before and after school or summer recess activities,
- A description of how the activity is expected to improve academic achievement,
- An identification of Federal, State and Local programs that will be combined or coordinated with the proposed program,
- An assurance that the proposed program was developed and will be carried out in collaboration with the school,
- A description of how the activities will meet the principles of effectiveness,
- An assurance that the program will primarily target students who attend schools eligible for schoolwide programs under Title I,
- An assurance that funds will be used to increase the level of non-Federal funds that would be made available for programs and activities,
- A description of the partnership between a LEA, a community-based organization, and another public entity or private entity if appropriate,
- An evaluation of community needs and available resources and a description of how the program will address those needs,
- A demonstration that the eligible entity has experience or promise of success in providing educational and related activities that will complement and enhance the academic performance, achievement, and positive youth development of the students,

- A description of a preliminary plan for how the community learning center will continue after funding under this grant ends,
- An assurance that the community will be given notice of an intent to submit an application and that the application and any waiver request will be available for public review after submission of the application,
- A description of how the eligible entity will encourage and use appropriately qualified seniors to serve as volunteers, (if the eligible entity plans to use senior volunteers),
- Other information and assurances as the state educational agency may reasonably require.

**Allowable Activities**

The local competitive grant program priorities (other than the requirements listed in the statute) will be set by the State. Community school advocates will find many activities within Title IV, Part B that support and enhance their goals. The following activities are all allowed under the funding guidelines:

- Remedial education
- Entrepreneurial education
- Art and music education
- Expanded library service
- Counseling programs
- Drug and violence prevention programs
- Math and science education
- Tutoring services
- Recreational activities
- Parental involvement and family literacy

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- Parental involvement and family literacy
- Character education programs
- Telecommunications and technology education
- Academic assistance to students who have been truant, suspended or expelled
- Language skills /academic achievement after school programs for limited English

Overall, Title IV supports the community school effort through broad goals under the Safe and Drug Free Schools and specific goals under 21st Century Community Learning Centers.

Given the academic focus on the revised 21st Century program and the fact that the state education agency is administering the program, community-based organizations and other public and private still need to build strong partnerships with local school districts as they pursue 21st century funding.

**Keys to Accessing 21st Century Community Learning Center Funds**

**Advocacy:** Find out who is in the lead for the management of this program in your state, and make your voice heard. Build linkages with other interested parties in the after school and community schools arena for this purpose.

**State Grants Competition:** The law allows States to establish their own process for reviewing grant proposals. From a community schools perspective, this process should involve reviewers from different sectors: education, youth development, community based organizations and others. Community school advocates must make a case for this approach to State Education Agencies, many of which now deal only with LEAs.

**Partnerships:** As newly eligible community-based organizations and other public and private entities decide how they will seek funds for this program, keep in mind these key facts: a) the programs have an even stronger focus on academic achievement now; and b) the state education agency will be managing the program, and does most of its business with local school districts. Thus, partnership with a school district remains vital from a pure grantsmanship perspective.

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### Web Links for the *No Child Left Behind Act of 2001*

- State-by-state allotments of funds distributed by formula under the Act (U.S. Department of Education source) http://www.ed.gov/offices/OUS/budnews.html#statetables
- Text of the new law: http://thomas.loc.gov/cgi-bin/query/z?c107:h.r.1.enr:
- Education Department's web page for No Child Left Behind Act implementation (keep checking, as it's updated): http://www.ed.gov/offices/OESE/esea/index.html
- President's FY 2003 Budget Request for Education: U.S. Department of Education Budget Services Web page http://www.ed.gov/offices/OUS/Budget03/index.html

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Insights
ON EDUCATION POLICY, PRACTICE, AND RESEARCH

Number 14, October 2001
Southwest Educational
Development Laboratory

# Making Education Dollars Work: Understanding Resource Allocation

This year, America's public school districts will spend more than $310 billion to educate the nation's children. Policymakers, educators, researchers, and the general public want to know how these resources can be allocated effectively and efficiently to guarantee the success of all students. As expectations rise for students and teachers to perform at higher levels, the question of how best to support this reform through fiscal measures becomes even more critical. However, the extent to which education resources affect student performance is not well understood.

Experts disagree about how much education resources have increased in the last quarter century and how much these resources have affected student performance. There is, however, general agreement that student performance must improve significantly if students are to meet challenging academic and workplace standards. There is no question that education finance systems must be examined to understand the link between resource allocation and student performance.

Current attention in the school finance policy arena has focused on the continuing rise in performance standards and the expectations for adequate resource support for student achievement. Some critics charge that public schools allocate resources or inputs inefficiently, citing rapidly climbing expenditures between 1975 and 2000 that have not been matched by student achievement gains during the same time period. Educational outcomes - measured by student test performance - have remained the same or even declined in some academic subjects during the last quarter century (Hanushek, 1996). Other analysts report that inflation-adjusted spending has only maintained the overall level of per-pupil resources.

While many states specify high performance goals for all students, all too often measured performance falls short of expectations. For example, on the National Assessment of Education Progress (NAEP), an average of about 25 percent of students perform at or above proficiency levels on mathematics and about 32 percent perform at those levels on reading. Other NAEP test takers are at or below basic levels. This is a disappointing result for a nation that expects most students to master the core subjects of mathematics and reading. Current evidence from other assessments, such as the Third International Mathematics and Science Study and various state

criterion-referenced tests, show similar performance results. Rapid and dramatic change--doubling or tripling the percentage of students attaining proficiency--calls for new instructional strategies and intensified efforts to help every student learn. However, it is unlikely that revenues will double or triple in the next few years, so performance improvement also will require better approaches to allocating resources for teaching and learning.

The purpose of this policy brief is to introduce state policymakers to information about current practice and research on education resource allocation and to heighten awareness of the issues and concerns regarding this topic. This issue of Insights begins with a general description of patterns in education resource allocation over time, followed by a brief review of research about the relationship between resources and student performance. The next section provides an overview of tools to examine resource allocation that can shed new light on how resources can be allocated and used more effectively. This issue concludes by exploring topics state policymakers will face as they seek ways to allocate resources to support high standards and improved student performance.

## Resource Allocation: A Stable Pattern Over Time

Although experts disagree on many issues around the status of school finance, they do agree that resource allocation patterns have been remarkably stable for decades (Picus, 2001). Average per-student expenditures vary widely among the states, but fund allocations for instruction within states consistently constitute about 60 percent of total available resources. Similar patterns were found in a recently completed study of resource allocation in Texas school districts (Alexander et al., 2000). The researchers found high-performing school districts spent 57.6 percent of their operating expenditures on instruction, while low-performing districts spent slightly more (58.4 percent) and middle-performing districts a higher percentage (59.2 percent). Across the nation, within the category of instruction, the percentage of resources allocated to staff salaries also remained remarkably uniform over several decades (National Center for Education Statistics, 1998).

Rapid and Dramatic change - doubling or tripling the percentage of students attaining proficiency - calls for new industrial strategies and intensified efforts to help every student learn. However, it is unlikely that revenues will double or triple in the next few years, so performance improvement also will require better approaches to allocating resources for teaching and learning.

Evidence gathered from all states for 1997-98 by the National Center for Education Statistics (NCES) shows instruction representing nearly 62 percent of expenditures, followed in importance by physical plant operations and maintenance at about 10 percent. General administration represents a small proportion of expenditures (about 2 percent), and school administration represents about 6 percent of expenditures. Studies by school finance experts support the results found in the NCES study (Odden, 2000; Picus, 2001). They note that across states and regions, school districts also tend to spend their resources in about the same proportions as shown in the table of NCES national results.

Occasionally, a change occurs that provides districts with a revenue wind-fall or even a permanent and large increase in resources. For example, a change in the state school finance formula that adjusts for enrollment decline or growth may benefit some school districts. Or a

district may experience sharp increases in property values and local support because of regional or even national economic shifts. It has been reported that school districts experiencing revenue increases allocate their new funds in the same broad spending categories as they did before the increase. Studies conducted since the 1980s have reported that schools use new money to hire staff for their instructional programs, the largest function within the budget. However, within instruction there are important distinctions. When school systems receive additional new resources, most are not spent on staff for the core instructional program but on new technology; specialists; teacher aides; and professional development linked to programs serving at-risk students, special education students, and students with English language difficulty. In many schools, these instructional staff members serve their special-needs students in pull-out programs, reducing the overall pupil-to-teacher ratio in the school and the district but not enhancing the general education program (Odden & Archibald, 2001; Rothstein, 1997). This pattern also is seen in districts that receive increased funds to adopt major new initiatives (Picus, 2001). These reform-oriented districts continue to retain control over most operating resources and allocate them in much the same way they were allocated before the reform initiative began.

The evidence suggests that education spending in U.S. districts and schools does not change easily. Decisions regarding allocation traditionally have focused on inputs rather than outputs. For example, the stability in staffing patterns across schools serving students of similar ages by and large reflects the use of staffing formulas based on the number of students and building square-footage measures. These and other allocation formulas are not based on outputs such as student achievement or graduation rates. Many inputs are more easily measured and reported; however, with the current emphasis on accountability and results, researchers have begun to explore ways to link resources with outcomes.

| NCES National Results<br>1997-98 Education Expenditures for All States | |
|---|---|
| Function | Percent |
| Instruction | 61.8 |
| Operations and maintenance of physical plant | 9.8 |
| School administration | 5.7 |
| Student Support | 5.0 |
| Support for Instructional Staff | 4.2 |
| Food Services | 4.1 |
| Student transportation | 4.0 |
| Other | 3.3 |
| General administration | 2.1 |
| Source: National Center for Education Statistics. (2001). Digest of education statistics, 2000, Table 164. Washington, DC: U.S. Department of Education | |

## What Is Resource Allocation in Education?

Resource allocation is the distribution of available revenue among functions such as instruction, school administration, student transportation, and physical plant operations and maintenance. Money is budgeted within each function for expenditure objects, such as salaries, benefits,

# Does Money Make a Difference? Connecting Resources to Outcomes

While researchers agree that schools consistently spend about 60 percent of revenues on instruction, experts still disagree about the nature of the relationship between spending and performance results. Using methods designed to explain and quantify an educational production function, economists and educational researchers have investigated the link between resources and student performance for several decades. A production function describes the important and powerful variables contributing to student performance outcomes measured by test scores or high school graduation rates.

An early study using production function methods is referred to as the Coleman Report of 1966. The study found that, overall, there is a weak association between school resources and student performance. Coleman and his associates instead determined that family background characteristics had a large and statistically significant effect on student performance. Scores of studies of education production functions have been conducted since the release of the Coleman Report; their results have been mixed--even conflicting. For example, economist Eric Hanushek used a method of tallying the results of statistical significance tests to summarize the results of a large number of production function studies and he found no systematic, positive relationship between school resources and student performance (Hanushek, 1986; Hanushek, 1997). Other researchers and policymakers support Hanushek's conclusions.

In contrast, Larry Hedges and his colleagues used a different technique called meta-analysis for summarizing the results of the same studies Hanushek examined. Hedges concluded that the relationship between resource inputs and student outcomes was consistent and positive and could, in fact, be used to frame educational policy (Hedges, Laine, & Greenwald, 1994). Hedges and his associates expanded their analysis in subsequent studies and reported that school inputs such as lower class size, teacher experience, and quality of teacher education are positively related to student outcomes. The effects are consistently positive and large enough to be educationally important (Hedges & Greenwald, 1996). In an experimental study in Tennessee, Achilles (1999) confirmed findings of a positive relationship between reduced class size and student outcomes.

What matters is what students and teachers actually do with resources, not merely whether they are present.

New thinking about resource allocation suggests that resource effectiveness depends almost entirely on how resources are used in instruction. What matters is what students and teachers actually do with resources, not merely whether they are present. Following this line of reasoning, researchers point out that instructional improvement will not necessarily occur simply by increasing conventional resources such as the number of teachers, the salaries of existing teachers, the number of books, or the addition of computers. Rather, instructional improvement will depend on improving student and teacher skill and knowledge in using additional resources in instruction and learning activities. It also depends on principal knowledge and skill in enhancing the conditions that enable resource use by all members of the school community (Cohen, Raudenbush, & Ball, 2000). Considering the

conflicting findings, it is easier to understand why finding the direct connection between resources and student learning has proved to be so difficult.

## Getting Results: Tools to Explore Resource Allocation

Conflicting or inconclusive research findings on the connection between resources and student performance should not lead educators and policymakers to conclude that little can be done to make resource allocation more effective. Experts who study school finance believe that resource allocation decisions can be improved when desired outcomes are articulated and both the costs and benefits associated with reaching higher standards are understood and measured. For example, a new program to improve reading achievement may, when implemented, be dramatically successful. But if the program is 50 percent more successful and twice as expensive as a related program, policymakers will want to deliberate very carefully before they allocate resources to the more costly program. Economists have developed cost analysis tools for exploring ways to allocate resources efficiently, or to get the greatest results from given resource levels. These include resource cost analysis, cost-effectiveness analysis, and cost-benefit analysis.

*Resource cost analysis.* Resource cost analysis is a systematic economic approach to identifying and pricing education inputs (Chambers, 1999). The general purpose of this approach is to identify all the costs associated with meeting a particular educational goal or requirement. When appropriate, the analyst adjusts the costs with a regional cost or price index. The advantage of resource cost analysis is that it identifies a complete set of elements to purchase, including those for special needs. The disadvantage for decision makers is that the total dollar cost of inputs alone has little connection to student performance. Some analysts, however, have used a variation of this approach to connect total

### Tools for Examining Resource Allocation and Student Achievement

Educational Production Function

Educational production functions are mathematical descriptions of how inputs (independent variables) contribute to outcomes (dependent variables). The production function most often is expressed in the form of a linear equation that related student outcomes (test scores) to inputs and characteristics of schools (expenditures, teacher experience, class size), individual student characteristics (family income level, mother's education, race), and previous student performance.

**Resource Cost Analysis**

Resource cost analysis uses average input prices that are aggregated and adjusted by a regional price or cost index. This method of aggregating and adjusting costs can result is a base funding (or foundation) level to guide decision makers in determining funding for programs and initiatives.

**Cost-Effective Analysis**

Cost-effective analysis uses costs and likely outcomes of different educational interventions or alternatives to select the most efficient way to produce a desired goal or outcome. Generally, two or more interventions or alternatives for meeting a particular performance goal are studied in this approach.

**Cost-Benefit Analysis**

Cost-benefit analysis uses the same approach as a cost-effectiveness analysis with the exception that both the costs and benefits are measures in dollar values.

dollars and student performance. The way they have done this is to study programs known or thought to be effective or programs that focus specifically on high-performing schools/districts and measure the costs they incur for their educational programs. In this way, analysts adjust for adequate or acceptable performance of students within a program or activity they are evaluating. The decision maker can then use the cost information generated from such a study as a way to determine whether to fund certain activities or programs associated with high performance and as a standard for allocating resources to lower-performing entities.

Education research expert Richard Rothstein used a variation on the resource cost approach to examine allocation among education program areas in a representative sample of school districts from several states from 1967 to 1996. He found that instructional spending increases over time were concentrated in special programs and not in general education programs. In fact, during the five years between 1991 and 1996, special education spending grew by 6.7 percent to account for 19 percent of all school spending in 1996. Bilingual education programs grew 30 percent during the same period. The importance of these results relates to the estimated efficiency of expenditure increases. If expenditure increases for instruction occur in programs that affect students who are less likely to be tested (e.g., those in special education or bilingual education), then comparing the combined expenditures for all programs to outcomes of only one (the general program) provides a misleading picture. The appropriate comparison would be to study resource costs and student outcomes within only the general education program.

*Cost-effectiveness analysis.* Studies that permit policymakers to understand both the costs and likely outcomes of different alternatives for student performance improvement are categorized as cost-effectiveness and cost-benefit analyses. To determine cost in a cost-effectiveness analysis, all needed program inputs, such as books, training for teachers, the cost of tutors or instructional aides, and needed space or facilities, are examined along with the estimated costs of contributed or volunteered resources. The effectiveness of alternative interventions can be determined by examining test score gains between the beginning and end of a school year. Score gains for students who participated in the alternative programs would be recorded along with the associated costs for each program. When all alternatives are evaluated according to how both their costs and their contributions meet the same outcome or goal, decision makers have the

## Can Class Size Reduction Make a Difference?

High expectations educators and policymakers hold for improved instruction in smaller classes are based in large part of the results of a class size reduction experiment conducted in Tennessee from 1985-1990. The study involved 10,000 students assigned to classes ranging in size from 13 to 17 students up to 22 to 25 students. The program was implemented in districts that had adequate personnel and space to accommodate the change. While in Tennessee STAR (Student/Teacher Achievement Ratio) Project produced modest achievement gains for all student (as meatured by scores on the Stanford Achievement Test, SAT-9), gains for low-income and minority students were almost twice as large as those for other students. The Tennessee experiment has encouraged other states such as California to reduce class sizes (see Class Size Reduction Research Consortium, 2000).

opportunity to select the alternatives that accomplish desired results using the fewest resources.

*Cost-benefit analysis.* Cost-benefit analysis employs an approach similar to that of cost-effectiveness analysis. The distinction is that cost-benefit analysis evaluates alternatives to meet a given goal by identifying both costs and benefits measured in monetary terms. The difficulty associated with placing a dollar value on outcomes from elementary and secondary education programs has discouraged the use of this technique, so analysts utilize it less often. As with cost-effectiveness analysis, in selecting among several alternatives, the decision maker would choose the approach or program with the highest benefit-to-cost ratio (Levin & McEwan, 2001).

The cost analysis portion of both the cost-effectiveness and cost-benefit approaches requires researchers to identify all the costs of a program, including training, administrative costs, the contributions of volunteers, donations, and other program elements that are typically ignored when school districts decide to allocate resources to new programs. The benefits of going through this cost analysis process are valuable because they help education program managers and administrators understand the full cost of programs.

## At a Glance

This year, America's public school districts spend more than $310 billion to educate the nation's children. Policymakers, educators, researchers, and the general public want to know how these resources can be allocated effectively and efficiently to guarantee the success of all students. However, the extent to which education resources affect student performance is not well understood. The goal of this edition of Insights on Education Policy, Practice, and Research is to introduce state policymakers to information about current practice and research on education resource allocation and to heighten awareness of the issues and concerns regarding this topic.

**Resource allocation patterns have been stable for decades.**

- Fund allocations for instruction consistently constitute about 60 percent of available resources. Within the category of instruction, the percentage of resources allocated to staff salaries also has been uniform.
- Researchers have found that school districts receiving revenue increases allocate their new funds in the same broad spending categories as before the increase.

**Researchers ask "Does money make a difference?" to explore the link between resources and student performance.**

- Methods designed to explain and quantify an educational production function have been used for decades, but results from such studies have not provided consistent and strong findings policymakers can use.
- New thinking suggests that resource effectiveness depends on how resources are used in

instruction. What matters is what students and teachers actual-ly do with resources, not merely whether they are present.

- Resource allocation decisions can be improved when outcomes are articulated and both the costs and benefits associated with reaching higher standards are understood and measured. Policymakers should consider the supports and challenges they may encounter in pursuing improvements to education spending.
- A thorough understanding of educational costs will help policymakers decide how to best deploy resources.
- The quality of information reporting systems will affect the ability of policymakers and other educa-tion stakeholders to see the link between resources and student performance.
- Oftentimes, states find themselves in a pattern of providing incremental resource increases for all programs without regard to their relative effectiveness in achieving state goals. Incrementalism can dilute the potential benefits of powerful strategies that require targeted infusions of resources.
- Policymakers may need to analyze whether across-the- board revenue increases are actually funding the general education program that serves the majority of students or whether they are used primarily to fund special programs.
- Organizational change processes that involve funding and services can be disruptive and unsettling to constituents and educators. Policymakers can seek ways to include the perspectives and input of all stakeholders to ease the challenges associated with change.
- Policymakers should consider the benefits of community participation in allocation decisions and develop mechanisms to open lines of communication with the public-at-large to align goals, expectations, and solutions.

Evidence suggests that education spending in U.S. districts and schools does not change easily. Decisions regarding allocation traditionally have focused on available resources rather than outputs such as student achievement. Analysis tools are available to help policymakers target spending more effectively to support student success. Developing effective resource allocation policy and practice that support increasing standards for student achievement presents challenges for policymakers, educators, and researchers.

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- Financing and Funding Issues
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- Mental Health in Schools: Guidelines, Models, Resources & Policy Considerations

## Relevant Publications on the Internet

- Children's Health Under Medicaid: A National Review of Early and Period Screening, Diagnosis, and Treatment 1997-1998
- Connect for Kids' Toolkit for Funding
- Decade of Behavior initiative presents Fund Source
- Financing America's Public Schools
- Financing Services for Students with Disabilities
- Finding Funding: A Guide to Federal Sources for Out-of-School Time and Community School Initiatives
- Issues in Financing School-Based Health Centers: A Guide for State Officials, September 1995
- K-12 School District Financing: An Update of Changes in the 1990s
- Legislative Inventments in School-Age Children and Youth
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- Medicaid, Managed Care, and School-Based Health Centers: Proceedings of a Meeting with Policy Makers and Providers
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- National Child Care Information Center Sources of Funding for Youth Services
- National Estimates of Mental Health Utilization and Expenditures for Children in 1998
- "New Study of Five State CHIP Programs," Kaiser Commission on Medicaid and the Uninsured (2000)
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- Resource Guide to Federal Funding For Technology in Education
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- School-Based Management: Strategies for Success
- School-Based Mental Health Services under Medicaid Managed Care
- Selected Papers in School Finance 1995 (NCES 97-536)
- Services for Children with Mental Health Needs: Funding Strategies Brief (PDF Document, 48K)
- School Spending: The Business of Education
- State Funding Systems for At Risk Students
- Strengthing Service Delivery
- The Federal Grants Manual for Youth Programs: A Guide to Youth Risk Behavior Prevention
- The Future of Children: Children and Managed Health Care
- The Future of Children: Financing Child Care
- The Future of Children: Financing Schools
- Title I: GAO Report
- 21st Century School Finance: How is the Context Changing?
- U.S. Department of Education List of Funding Opportunities
- Funding Early Childhood Mental Health Services & Supports

**Selected Materials from our Clearinghouse**

- A Practical Guide: Fund-Raising for Local Evaluations of Children's Mental Health Programs
- A Strike for Independence: How a Missouri School District Generated Two Million Dollars to Improve the Lives of Children
- Assessing Schools Fiscal Contributions To Mental Health Services
- Best Practices: Administering the LEA Billing Option
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- Financing Reform of Family and Children's Services
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- Managed Care Innovations for Adolescents
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- Summary of Selected Funding Sources for School-Based Services
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- Volume III: Potential Sources of Federal Support for School-Based and School-Linked Health Services
- Who Will Pay? Local, State, and Federal Perspectives

**Relevant Publications That Can Be Obtained at Your Local Library**


- Fiancing Health Services in School-Based Clinics: Do Non-Traditional Programs Tap Traditional Funding Sources? By, J.S. Palfrey, M.J. McGaughey, P.J. Cooperman, et al. (1991). Journal of Adolescent Health, Vol. 12, No.3, pp. 233-239.
- Payment for Services Rendered: Expanding the Revenue Base of School-Based Clinics. By, J. Perino & C. Brindis (1994). Report to the Stuart Foundations, Center for Reproductive Health Policy Research, University of California, San Francisco.
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- Afterschool Alliance: Resources
- American Psychological Association
- Catalog of Federal Assistance
- Center for Health and Health Care in Schools
- Children and Managed Care: Organization and Financing of Care for Children and Youth with Special Health Needs
- Deparment of Education
- Department of Health and Human Services
- eSchool News Funding Center
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- Government Organizations with Grants and Other Funding Sources
- Grant Update
- Grantsmanship Center: Federal Grants Links
- GrantsWeb
- Handspring Foundation Grants for Under-served Youth
- Health Care Financing Administration (HCFA)
- Health and Human Services (DHHS) Micro-Grants
- Jim Casey Youth Opportunities Initiative
- Links to Grant Resources on the Web
- National Center for Education Statistics: Education Finance Statistics Center
- National Rural Funders Collaborative
- National STW Learning and Information Center: Grants
- National Youth Development Information Center: Funding Search
- Notices of Funding Availability
- Office of Juvenile Justice and Delinquency Prevention (OJJDP), Department of Justice
- School Grants
- School Health Program Finance Project Database
- School Health Finance Project of the National Conference of State Legislatures
- Sustainable Funding Updates - Advocates for Children and Youth
- TENET's Educational Grant Programs Webpage
- The Finance Project
- The Foundation Center
- The Future of Children
- The I2 Foundation
- The National Conference of State Legislatures Education Site
- U.S. Department of Education's Office of the Chief Financial Officer: Grants and Contracts Information

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**If you haven't done so, you may want to contact our sister center, the Center for School Mental Health Assistance at the University of Maryland at Baltimore.**

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| Shortcut Text | Internet Address |
|---|---|
| Financial Strategies to Aid in Addressing Barriers to Learning | http://smhp.psych.ucla.edu/syspack.htm#finance |
| Financing and Funding Issues | http://smhp.psych.ucla.edu/sys13.htm#funding |
| Surfing for Funds | http://smhp.psych.ucla.edu/pdfdocs/fundfish.pdf |
| Mental Health in Schools: Guidelines, Models, Resources & Policy Considerations | http://smhp.psych.ucla.edu/specpak.htm#polcadre |
| Children's Health Under Medicaid: A National Review of Early and Period Screening, Diagnosis, and Treatment 1997-1998 | http://www.healthlaw.org/ |
| Connect for Kids' Toolkit for Funding | http://www.connectforkids.org/benton_topics1544/benton_topics_show.htm?doc_id=45947 |
| Decade of Behavior initiative presents Fund Source | http://www.decadeofbehavior.org/ |
| Financing America's Public Schools | http://www.nga.org/center/divisions/1,1188,C_ISSUE_BRIEF%5ED_994,00.html |
| Financing Services for Students with Disabilities | http://www.ed.gov/pubs/OSEP95AnlRpt/ch5a.html |
| Finding Funding: A Guide to Federal Sources for Out-of-School Time and Community School Initiatives | http://www.financeproject.org/osthome.htm |
| Issues in Financing School-Based Health Centers: A Guide for State Officials, September 1995 | http://www.healthinschools.org/pub/papers/Sept95/ |
| K-12 School District Financing: An Update of Changes in the 1990s | http://www.open.org/~lwvor/k-12.htm |
| Legislative Inventments in School-Age Children and Youth | http://www.financeproject.org/ |
| Medicaid and School Health : A Technical Assistance Guide | http://smhp.psych.ucla.edu/sys14.htm |
| Medicaid, Managed Care, and School-Based Health Centers: Proceedings of a Meeting with Policy Makers and Providers | http://www.healthinschools.org/pub/papers/June26/ |
| Maximizing Medicaid Funding to Support Health and Mental Health Services for School-Age Children and Youth | http://www.financeproject.org/Brief5.pdf |
| National Child Care Information Center Sources of Funding for Youth Services | http://nccic.org/whatsnew.html |
| National Estimates of Mental Health Utilization and Expenditures for Children in 1998 | http://www.rand.org/publications/RB/RB4541/ |

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| "New Study of Five State CHIP Programs," Kaiser Commission on Medicaid and the Uninsured (2000) | http://www.kff.org/content/2000/2226 |
| Nine State Strategies to Support School-Based Health Centers | http://www.healthinschools.org/pub/papers/execsumm.html |
| Resource Guide to Federal Funding For Technology in Education | http://www.ed.gov/Technology/tec-guid.html |
| School-Based Health Centers and Managed Care: Seven School-Based Health Center Programs Forge New Relationships | http://www.healthinschools.org/sbhcs/papers/newrelationships.asp |
| School-Based Management: Strategies for Success | http://www.ed.gov/pubs/CPRE/fb2sbm.html |
| School-Based Mental Health Services under Medicaid Managed Care | http://www.mentalhealth.org/publications/allpubs/SMA00-3456/default.asp#toc |
| Selected Papers in School Finance 1995 (NCES 97-536) | http://nces.ed.gov/pubs97/97536.html |
| Services for Children with Mental Health Needs: Funding Strategies Brief (PDF Document, 48K) | http://www.sustainfunds.org/updates/49dbrief.PDF |
| School Spending: The Business of Education | http://www.asbj.com/schoolspending |
| State Funding Systems for At Risk Students | http://www.ecs.org/ |
| Strengthing Service Delivery | http://www.promisingpractices.net/delivery.asp |
| The Federal Grants Manual for Youth Programs: A Guide to Youth Risk Behavior Prevention | http://www.youthdevelopment.org/booklist.asp?Category=Reference |
| The Future of Children: Children and Managed Health Care | http://www.futureofchildren.org/usr_doc/vol8no2%2Epdf |
| The Future of Children: Financing Child Care | http://www.futureofchildren.org/usr_doc/vol6no2%2Epdf |
| The Future of Children: Financing Schools | http://www.futureofchildren.org/usr_doc/vol7no3%2Epdf |
| Title I: GAO Report | http://www.gao.gov/ |
| 21st Century School Finance: How is the Context Changing? | http://www.ecs.org/clearinghouse/28/04/2804.htm |
| U.S. Department of Education List of Funding Opportunities | http://www.ed.gov/funding.html |
| Funding Early Childhood Mental Health Services & Supports | http://gucdc.georgetown.edu/fundingpub.html |
| A Practical Guide: Fund-Raising for Local Evaluations of Children's Mental Health Programs | http://www.jbcc.harvard.edu/ |
| A Strike for Independence: How a Missouri School District Generated Two Million Dollars to Improve the Lives of Children | http://www.cssp.org/pubs.html |

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| Assessing Schools Fiscal Contributions To Mental Health Services | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC45 |
| Best Practices: Administering the LEA Billing Option | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC42 |
| Block Grants: Characteristics, Experience, and Lessons Learned | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC33 |
| Coverage of Community Mental Health Services Under Medicaid | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC13 |
| Creating More Comprehensive, Community-Based Support Systems: The Critical Role of Finance | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC03 |
| Developing Blended Funding Programs For Children's Mental Health Care Systems | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC51 |
| Financing Cost Models : Annotated Bibliography and Other References | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC46 |
| Financing Reform of Family and Children's Services | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC02 |
| Financing Strategies to Support Innovations in Service Delivery to Children | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC17 |
| Funding Resource Bulletin | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC01 |
| Funding: Baltimore's Experience | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC48 |
| Getting to the Bottom Line: State and Community Strategies for Financing Comprehensive Community Service Systems | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC32 |
| Issue in Financing School-Based Health Centers: A Guide for State Officials | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC07 |
| Managed Care Innovations for Adolescents | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC36 |
| Medicaid and School Health | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC40 |
| School Linked Services: Appraisal, Financing, and Future Directions | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC27 |
| School-Based Health Centers and Managed Care Health Plans: Partners in Primary Care | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC05 |
| Summary of Selected Funding Sources for School-Based Services | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC10 |
| Title XI: Funding for School-Based Mental Health Services | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC23 |
| Volume III: Potential Sources of Federal Support for School-Based and School-Linked Health Services | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC35 |
| Who Will Pay? Local, State, and Federal Perspectives | http://smhp.psych.ucla.edu/smhp.exe?ACTION=POPUP&ITEM=1404DOC22 |
| Afterschool Alliance: Resources | http://www.afterschoolalliance.org/resources.cfm |



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| American Psychological Association | http://www.apa.org/ |
| Catalog of Federal Assistance | http://www.cfda.gov/ |
| Center for Health and Health Care in Schools | http://www.healthinschools.org/ |
| Children and Managed Care: Organization and Financing of Care for Children and Youth with Special Health Needs | http://www.ichp.edu/managed/links.html |
| Deparment of Education | http://www.ed.gov/GrantApps/ |
| Department of Health and Human Services | http://www.dhhs.gov/progorg/ |
| eSchool News Funding Center | http://www.eschoolnews.org/resources/funding |
| Federal Commons | http://www.cfda.gov/federalcommons |
| Federal Register | http://www.gpo.gov/su_docs/aces/aces140.html |
| Federal Register ED Announcements | http://gcs.ed.gov/fedreg/announce.htm |
| FundSource | http://www.decadeofbehavior.org/fundsource/ |
| Government Organizations with Grants and Other Funding Sources | http://smhp.psych.ucla.edu/govlinks.htm |
| Grant Update | http://www.grantupdate.com/ |
| Grantsmanship Center: Federal Grants Links | http://www.tgci.com/resources/federal/ffed.html |
| GrantsWeb | http://www.research.sunysb.edu/research/kirby.html#index |
| Handspring Foundation Grants for Under-served Youth | http://www.handspring.com/company/foundation |
| Health Care Financing Administration (HCFA) | http://www.hcfa.gov/ |
| Health and Human Services (DHHS) Micro-Grants | http://www.health.gov/healthypeople/Implementation/Community/FRnotice.htm |
| Jim Casey Youth Opportunities Initiative | http://www.jimcaseyyouth.org/ |
| Links to Grant Resources on the Web | http://206.76.136.3/resources/grants.html |
| National Center for Education Statistics: Education Finance Statistics Center | http://nces.ed.gov/edfin/efsclogo.htm |
| National Rural Funders Collaborative | http://www.nrfc.org/ |
| National STW Learning and Information Center: Grants | http://www.stw.ed.gov/grants/grants.htm |
| National Youth Development Information Center: Funding Search | http://www.nydic.org/fundsearch.html |
| Notices of Funding Availability | http://ocd.usda.gov/nofa.htm |
| Office of Juvenile Justice and Delinquency Prevention (OJJDP), Department of Justice | http://ojjdp.ncjrs.org/ |
| School Grants | http://www.schoolgrants.org/grant_opps.htm |

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| School Health Program Finance Project Database | http://www2.cdc.gov/nccdphp/shpfp/index.asp |
| School Health Finance Project of the National Conference of State Legislatures | http://ncsl.org/programs/health/pp/schlfund.htm |
| Sustainable Funding Updates - Advocates for Children and Youth | http://www.sustainfunds.org/updates/ |
| TENET's Educational Grant Programs Webpage | http://wnt.cc.utexas.edu/%7Etxednet/cfdir/profrec/funding.cfm |
| The Foundation Center | http://fdncenter.org/ |
| The Future of Children | http://www.futureofchildren.org/ |
| The I2 Foundation | http://www.i2foundation.org/ |
| The National Conference of State Legislatures Education Site | http://www.ncsl.org/programs/educ/edu.htm |
| U.S. Department of Education's Office of the Chief Financial Officer: Grants and Contracts Information | http://ocfo.ed.gov/ |
| search | file:///G:/search.htm |
| technical assistance page | http://smhp.psych.ucla.edu/techreq.htm |
| Center for School Mental Health Assistance | http://csmha.umaryland.edu/ |
| "The fine Art of Fishing" | http://smhp.psych.ucla.edu/selfhelp.htm |

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# Originals for Overheads

The following can be copied to overhead transparencies to assist in presenting this material.

The central principle of all good financial planning:

*A program's rationale should drive the search for financing. Financing may be the engine, but it should not be the driver.*

Thus:

>Financial strategies should be designed to support the *best strategies* for achieving improved outcomes.

>Financial strategies which cannot be adapted to program ends should not be used.

It is unlikely that a single financing approach will serve to support an agenda for major systemic changes.

Thus:

>Draw from the widest array of resources

>Braid and blend funds

Remember:

*Financing is an art, not a science*

***What are major financing strategies to address barriers to learning?***

- ***Integrating***

  Making functions a part of existing activity – no new funds needed

- ***Redeploying***

  Taking existing funds away from less valued activity

- ***Leveraging***

  Clarifying how current investments can be used to attract additional funds

- ***Budgeting***

  Rethinking or enhancing current budget allocations

## *Where to look for financing sources/initiatives?*

Look at

- all levels -- *Local/ State/Federal*
- *Public and Private Grants/Initiatives*
- *Education Categorical Programs* (Safe and Drug Free Schools, Title I, Special Education)
- *Health/Medicaid funding* (including Early Periodic Screening, Diagnosis, and Treatment)